STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

AMENDMENT # 3   June 20, 2003

Attached is the Question & Answer Document from the Vendor Conference on May 30, 2003 and the corrected Attachment #6 Cost Sheets.

Note: A signature line has been included below. A copy of this page signed in ink is required
with the Proposal to show that vendors have received this Amendment.

APPROVED:_____

          HOLLY MILLER-SULLIVAN
          DIRECTOR
          CONTRACTS AND PURCHASING DIVISION

_____

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT
(THIS PAGE Must be signed and returned WITH PROPOSAL)

Questions & Answers Document

1. Question: When answering questions with "Status _____" or "Status A_____", is A3 better than A0?

Answer: Yes, A3 is better than A0.

2. Question: Is a client a single "customer", or is a client each installation of a customer? (currently CT has 234 "clients").

Answer: It may depend upon the context in which that word is used.

3. Question: Does -the RFP mandate a statewide license for the portal product? If 'yes', does the RFP mandate a statewide license for all services - including processing - to be provided?

Answer: Today, access to the www.iconn.org home page, which in turn provides access to many public domain resources, including the statewide library catalog, is completely unrestricted as Web-accessible resources. Similarly, in the library portal environment, access through the library portal to these same resources should be no less restricted, subject to any authentication requirements for resources licensed by the State. Access to services intended for use only by library staff, such as the interlibrary loan management system, and cataloging services, may be restricted to specific libraries, as depicted in Appendix B, for example, and this restriction in turn may limit which library patrons can submit interlibrary loan requests electronically. It is unclear what the reference to "including processing" means.

4. Question: It appears that the State of Connecticut already possesses a digital library system as described in the RFP; it is called iConn (www.iconn.org). Is the State of Connecticut considering a replacement for the current system?

Answer: The purpose of this RFP is to replace specific services of the Connecticut Digital Library with *enhanced* versions of these services-- in particular, the statewide library catalog and its associated services (subsection 4.3) -- as well as to augment the current Connecticut Digital Library service with additional services that do not already exist, such as the library portal (subsection 4.2).

5. Question: Is this RFP restricted to vendors that have a COTS product or can any vendor submit their own solution?

Answer: Qualifying vendors will have a COTS solution that can include development work to meet core and/or preferred system requirements.

6. Question: Would Connecticut consider pricing models not necessarily based on the guidelines provided?

Answer: The State would consider any other pricing models that would have the effect of lowering the State's total costs as long as there continues to be a basis for making apples-to-apples comparisons of total costs among all proposals received. It is difficult to comment more definitively without knowing specifically what is being proposed, or how what is being proposed is being constrained by the RFP format.

7. **Question:** What vendor currently provides the software for ReQuest?

Answer: Auto-Graphics currently provides the software for ReQuest.

8. **Question:** The Connecticut State Librarian's Report dated January 27, 2003 includes the following paragraph.

> Meeting with Auto-Graphics on the AGent
> Kendall Wiggin, Sharon Brettschneider and iCONN staff (Steve Cauffman, Jane Emerson, Gail Hurley and William Sullivan) met with Albert Flores, Vice President of Marketing for Auto-Graphics on November 22, to discuss implementation of the AGent. Auto-Graphics has provided us with an iCONN-specific version of the AGent, which we are now attempting to further customize to meet our needs, including our authentication and logo requirements. AGent will provide a single-search interface for all the databases on iCONN, including the reQuest catalog. When implemented, users will be able to type in a term and search all the databases at once.

> Please provide further information as to how the implementation of Agent from Auto-Graphics relates to the RFP.

Answer: The implementation of the AGent, which has not yet come to fruition, was planned last year as an enhancement to the current system under the auspices of the State's current contract with Auto-Graphics. There is no relationship per se between this implementation process and the RFP process. At the present time, however, the State has decided not to proceed with this implementation.

9. **Question:** Was a third party engaged to assist the Connecticut State Library in developing the RFP? If so, who?

Answer: No. The RFP was developed by a team of individuals consisting entirely of librarians from the State Library and from other libraries who use the reQuest service.

10. **Question:** What is the relative importance of the core and preferred systems?

Answer: The core system represents the minimum system that the State needs. The preferred system represents the goal, the target system to advance the State beyond where it is today.

11. **Question**: Which of the services described in the RFP are in operation now and which are being added?

Answer: The State currently has a statewide library catalog, an interlibrary loan system, a library information database, a holdings maintenance module, and a Windows-based MARC editor with access to both the statewide library catalog and the LC MARC database. Except for the MARC editor, all services are Web-accessible. The State currently provides its own web hosting services and library bar code authentication (through the Connecticut State University Systems Office). Individual iCONN database vendors, such as Gale, perform all IP authentication. The major new service that the State would like to implement is the library portal. Other new services or enhancements include an ISO-compliant interlibrary loan system and other functions designated as "preferred system" functions.

12. Question: What changes are taking place in the iCONN electronic databases?

Answer: Currently, the State receives *The Hartford Courant* from NewsBank and all newspapers in the iCONN Newspaper Collection from Gale. By July 1, 2003, these will be replaced by the iCONN Newsstand from ProQuest that will include: The Hartford Courant, New York Times, Wall Street Journal, Washington Post, Los Angeles Times and Christian Science Monitor. Periodically, the State makes changes to the suppliers of iCONN electronic database resources.

13. Question: Who is intended to have access to the library portal?

Answer: The library portal and the statewide library catalog should be accessible to every resident of Connecticut and there should be no built-in limits relative to simultaneous users or amount of usage. Some resources accessible through the library portal will require user authentication to access.

14. Question: The vendor's understanding is that the State is not doing library bar code authentication by doing a lookup on the local library system itself, but rather by doing an analysis of the bar code to determine that this patron belongs to a given library. Later, the RFP alludes to NCIP lookups, but right now, the State is doing analysis of a bar code, is that correct?

Answer: Yes, today the State is doing an analysis and lookup of the bar code for remote access, not NCIP lookups. The agency code portion of the library bar code is associated with specific individual libraries. Also, since each iCONN database vendor may assign a unique account code to a library and use that code for statistical purposes, the account code needs to be associated with the agency code portion of the bar code.

15. Question: Please clarify why (Subsection 4.2.3 #7 and #8), the use of agency codes may not be a viable method for determining the user's library affiliation.

Answer: This refers to the patrons of libraries that offer the interlibrary loan service to their patrons and to the library staff of libraries, which have access to staff administration functions of the statewide library catalog. Because these libraries

include libraries that have not been assigned an individual agency code, such as school libraries and special libraries, it can't presently be determined from the agency code whether the user is a patron or staff member that is associated with a library that is authorized to offer or access services associated with the statewide library catalog.

16. **Question**: Are all bar codes unique, or do some libraries have the same bar codes under the current system?

Answer: Every library has its own identifying four digits (agency code) that identify that bar code as belonging to a particular library. There is a statewide standard for bar codes in Connecticut, and those standard bar codes will be used with this system.

17. **Question**: Regarding the library portal, is there going to be a product selection process, or is the vendor going to be recommending products for that as part of the vendor's proposal?

Answer: Vendor proposals must include a library portal as specified in the RFP.

18. **Question**: The RFP allows for a prime contractor and one or more subcontractors?

Answer: Yes, the State is willing to enter into a prime and subcontractor relationship. The State is not ever interested in entering into a joint venture.

19. **Question**: Is it permissible for a prime contractor to fulfill some mandatory RFP requirements through an approved subcontractor?

Answer: Yes, however the State will not accept any proposals that assign all or a substantial number of mandatory and core system requirements to subcontractors. The State expects the prime Vendor to be a company that possesses substantial knowledge and experience in providing the services requested in this RFP, not merely a broker of services, or a systems integrator only. Subcontractors are being allowed so that the State's choices are not limited to only those vendors who can each directly provide *all* the services being requested.

20. **Question**: Section 4.1.20.3.2 Statewide Library Catalog & Associated Services implies that the vendor responsible for hosting the CDL system is the same vendor responsible for development and implementation of the CDL. Is this the State's preferred approach? If no, is the State amenable to a solution involving different vendors providing different capabilities, with a single point of contact? For example, could one vendor be used to provide Union Catalog software while another vendor provide hosting services of that catalog?

Answer: Given the complexity of the services being requested, some of which require seamless integration, and the need for high reliability, the strongly preferred approach is to have the fewest number of vendors required to make up a total solution. Section 2.2.17 of the main RFP document allows for multi-vendor solutions

as long as one vendor serves as the prime Vendor and accepts complete responsibility for the entire system (more than just a "single point of contact"), but this provision does not mean that the state will accept a "patchwork quilt" involving many vendors since, vendor assurances notwithstanding, that implies a significantly higher level of risk due to the greater need for systems integration. To the extent that multi-vendor systems integration is required, that element should be specifically addressed in the vendor experience/qualifications section. With that proviso in mind, with regard to the specific example cited in Subsection 4.1.20.3.2, which lists mandatory requirements for specific types of experience, if it is technically feasible for the vendor that provides the union catalog system to subcontract the hosting of that system, there is nothing in this RFP that would preclude that possibility as long as, per Subsection 4.1.20.3.2, the provider of the union catalog system can document prior experience with the same subcontractor for this particular type of hosting.

21. **Question**: Attachment 3 Page 5 of 12, section 3.3 (4): Are Qualifications, experience and reference to be provided for each individual proposed for the project or is it to be provided for the vendor (Prime and Sub-contractor) as a whole.

Answer: This information, including references, must be provided for the prime vendor as well as for each subcontractor.

22. **Question**: Is the State in the process of selecting a library portal now, independent of the RFP?

Answer: No. Until recently, independently of the RFP process, the State was involved in the implementation of a library portal product under the auspices of the State's current contract with Auto-Graphics. The selection process for library portals is being addressed by the RFP process. The outcome of the RFP process will be a solution that replaces (at a minimum) and augments (preferably) everything that exists today.

23. **Question**: Regarding the guest login for the library portal, will there be a self-registration process, which requires people to come in and register in order to have access to the portal? Can anyone in Connecticut come in and register? Would restrictions be imposed on what people can access?

Answer: Not exactly. Today, anyone can go to www.iconn.org to access any of the resources that are in the public domain, including the statewide library catalog, but if a user selects any of the licensed resources or services that require authentication, at that point the user has to go through an authentication process. The library portal would work the same way, and would be no less restricted, but might also be able to use the authentication system to determine which resources a given user is authorized to access. There should be no restrictions on using the library portal to access any resources in the public domain. Accordingly, no registration process should be required to access the library portal, however, an identification process might be

required to access a particular customized version of the portal (as described in Subsection 4.2.2 #7).

24. **Question**: Does the State envision that a person would register and based on their profile the vendor would customize certain elements in the portal that they would have access to? It would not be something that the system could go and verify. Individuals would be entering their information and based on their profile, the system will customize according to their needs?

Answer: The State is looking to vendors to provide the State with solutions that make it easier for users to use the system. If there is a way for the system to know what resources a given user is authorized to access, by virtue of being associated with a particular predefined user category, such as college student, or student from XYZ college, that is very desirable, but in the absence of any method for automatic identification of who the user is, the State presumes that the identification of user category would be based on information supplied by the user.

25. **Question**: If a patron initiates an interlibrary request, and the system transfers that information to the library who is presumably going to mediate the request, all the system is going to have is the patron bar code. Does the State want the patron to complete the request by entering their name or other information on that?

Answer: Yes, as required by the form. The State is requesting initially a mediated ILL system, which means that each request will initially be verified by the patron's home library before being sent to one or more lending libraries, so the patron needs to supply enough information on the form so that the home library can determine whether the patron is a registered patron of the home library, and to be able to contact the patron by phone or fax or e-mail when the requested item is received.

26. **Question**: They have to complete the form before the request is submitted?

Answer: Yes.

27. **Question**: Does the State envision ILL to be intrastate only or interstate as well?

Answer: Its primary use would be intrastate, but ISO-compliance would afford the opportunity to exchange interlibrary loan requests with any other ISO-compliant system, without regard to where the systems are located. There is also the potential to achieve similar interoperability among non-ISO-compliant systems that are offered by the same vendor. The State does not want to limit itself in this area.

28. **Question**: The vendor understands there is a mandatory requirement for this entire turnkey solution to be hosted by the vendor. The State is looking at possible alternative hosting scenarios here within the state. Can the State elaborate on where the State is going with that?

Answer: The State want to know what capabilities each vendor has for each of the hosting scenarios listed. The mandatory hosting option is the one that the State will use for this system, but the State also wants to know if that is the only option available to the State.

29. **Question**: The State wants the MARC editor -- does the State envision cleaning up cataloging at a centralized level and then importing records back down to the local site?

Answer: The MARC editor would primarily be used by State Library staff and also by assigned participating library staff in selected libraries in the state. Today, there is a limited number of libraries that are using that capability. The State has found that, by enabling copy cataloging access to both the statewide library catalog as well as OCLC, the need for original cataloging using the statewide catalog has diminished substantially. The MARC editor the State is requesting will probably be used more for correcting errors in the catalog than for original cataloging.

30. **Question**: From a systems administrator standpoint, how much hands-on involvement does the State want to have with the system?

Answer: There is no general across-the-board answer to that. It depends on the area of the particular area of the RFP (functionality) being referred to. There are certain situations where it would be very advantageous for the State to be able to choose either way (either the State performs the function or the vendor performs the function, at the State's option). If the State has an immediate need to perform a function, and the State has been provided the tools to do it, it is a great advantage for the State to be able to perform that function independently on the spot. But, there may be other times when it's not feasible for the State to be able to do this, so the ability to go to the vendor and request that this be done quickly, that's a great advantage, too.   The staff assigned to this project is very few in numbers, and is likely to remain very few. The State does not have the personnel to run a production operation, which is why the State is requiring the vendor to host and maintain the system.

31. **Question**: In Attachment 2, Subsection 4.1.7, the performance requirement, the State makes some assumptions about the high-speed Internet connection. The vendor wants to find out how the State arrived at some of these numbers, the seconds response times, and were they based at all on concurrent searches at a given time?

Answer: Those times were based on the State's experience with the current system and what the State thinks should be possible. The State realizes that there will be some variability based on the nature of the Internet connection. Response times will be measured periodically from the Connecticut Digital Library office. The State expects the vendor to resolve response time problems (i.e., response times over the maximum limits in the RFP) reported to the vendor by either the Connecticut Digital Library office or by individual libraries, assuming the response time problems are being caused by the vendor's service.

32. Question: In relation to response time, does the State take into consideration anything about concurrent users or concurrent searches? If there are 1,000 people doing a search at that moment, or 100 people, that might change the response time.

Answer: The response time requirements of this RFP are without regard to number of simultaneous users or amount of usage. The State doesn't have the ability to quantify how much load there is on the system at any given point in time based on knowing how many simultaneous users or concurrent searches there are. The load is what it is. The State can only check response time from this office at different times of the day.

33. Question: Does the State do an average of those response times?

Answer: The State expects the response times to be at or below the maximum limit each time the State checks the system, but if the State performs a number of sample searches at one time of day, the State will take an average of those individual results.

34. Question: Just to further understand the State's current system and the times that the State has been benchmarking it, would that be a local server, basically a client server local system, or is the State accessing it over a high-speed Internet connection to a remote server?

Answer: The access that the State has from the Connecticut Digital Library office currently is a T1 line that goes through the State Library to the Connecticut State University Systems Office that in turn provides Internet access through their ISP.

35. Question: The vendor wants to know exactly what the State wants the portal to do. Does the State want all of the functionality presently in the portal, or can the portal lead to other functionality? It sounds like the State is looking for a federated search capability for all of these resources the State is talking about and then including the union catalog functionality and ILL, et cetera.

Answer: That is correct.

36. Question: How does the State envision the portal in terms of getting people to different functions, depending on the resources they are going after, or does the State just see the portal as having everything right there on the first page?
Answer: Ideally, the State would want everything to be right there on the first page, so that a user would know what resources and services a user is authorized to access from this starting point. The system should be able to represent to the user all the resources that the user is authorized to use, both public domain resources as well as authenticated resources, and then the user should be able to select one or any number of resources he/she wants to search, and the system will search those resources simultaneously using cross-database or federated searching.

37. **Question**: Is there a particular model library system already in existence at another state or national library system that perhaps the State is patterning some of these after?

Answer: No, there is no model other than the RFP itself.

38. **Question**: To meet certain business objectives during this project, is there any requirement analysis done, and is it documented so that the vendor can have the document and pick it up from there, or does the vendor have to spend some time getting the requirements from the end users?

Answer: The RFP states all the requirements.

39. **Question**: There is a lot of customization ability in the RFP, either the vendor does it or the library does it. Since the State is a small staff, how does the State see the State's implementation team working with the vendor?

Answer: The State expects the vendor to deliver the system as a turnkey system by the time the acceptance period starts, even though it may not have originated as a turnkey system, as there may have been some functionality that the vendor needed to develop in order to meet the non-mandatory RFP requirements. The State expects that any new functionality developed will be fully-tested and operational by the time the acceptance period starts. Furthermore, given the relatively short amount of time available in the schedule for new development or customization, which presumably would not begin before a contract is signed, the State expects that the implementation of the system will not require a significant amount of development work in order to provide the functionality being proposed, as that would increase the risk of not having an operational system by July 1, 2004. The State will make itself available to the vendor as questions arise during this phase, including answering questions relative to any customization or configuration options afforded by the system, to ensure that the end result meets the State's needs.

40. **Question**: Would the successful vendor have direct interaction with the library staff?

Answer: Yes, vendor staff would work directly with State Library staff.

41. **Question**: In relation to the "vision" discussion of being able to access images and video recordings in Attachment 2, Appendix C, is the State Library ready at this point for a solution that allows the State to catalog and search on video images, photographs, videos, etc.? How would the vendor propose that?

Answer: The State will consider any functionality a vendor might propose that is within the scope of the RFP and that meets all the requirements of the RFP. The ability to link from "metadata" (e.g., MARC records) to the "actual" data is well within the scope of what a union catalog should be able to do, e.g., as described at Subsections 4.3.2.2 #4 and 4.3.2.6.2 #12. In relation to this, Syndetics recently

announced the capability to provide links to video clips. Similarly, the library portal's design need not be limited to searching only bibliographic or text-only resources. If the vendor is asking about proposing a separate, searchable database of video images and photographs, and only that, then the vendor might consider proposing that capability to the State Library independent of this RFP, or the vendor might reference its capabilities in this area in relation to Subsection 4.2.2.4 #4.

42. Question: The vendor's understanding is that the State is using MARC records and also non-MARC records. Can the State tell us more about those formats and what the State would be looking for in managing those, especially if the State has things in non-MARC?

Answer: The union catalog today consists primarily of records in MARC format. The State is interested in knowing the vendors' capabilities of handling other formats, such as Dublin Core or XML, although the State does not use those formats today in the union catalog.

43. Question: Regarding the Library Information Database, Attachment 2, Subsection 4.3.2.7.1, the State describes in the introduction the ability to link from the bibliographic record's holdings to information about the library in the Library Information Database, but that requirement isn't found in Subsection 4.3.2.7.1.

Answer: Correct. It is referred to in Subsection 4.3.2.6.2 #6bi and #7bi.

44. Question: Is the State looking to house and maintain the State's own databases of digital collections, or is the State looking primarily to access ones that exist?

Answer: The question the RFP posed (Subsection 4.2.2.4 #4) was whether or not the vendor has the ability to host and make accessible through the library portal new digital content – if the State Library were to develop and provide that content to the vendor in the future. The State Library wants to know that this is an option it can exercise in the future, if it chooses to, but this will not be part of the initial systems implementation.

45. Question: Would that capability include the software, application and the database?

Answer: Yes.

46. Question: Do the multilingual requirements address both the interface as well as the data? For all languages identified in Appendix K?

Answer: This requirement, which is at Subsection 4.1.9 #2, deals with the user interface only, not the content. As to number of languages, consider the languages presented in Appendix K to be listed in priority order.

47. **Question**: Considering the State of Connecticut already possesses an established digital library system, i.e. www.iconn.org, as authorized by the State's legislature (described in Section 2.1 on the RFP), will passage of new legislation be required to fund the work described in the RFP? If no, will the State require any special procurement procedures to substantiate the replacement of the existing system?

Answer: No and No.

48. **Question**: As a comparison to the current requirements, can the State make available the RFP(s) used to procure the current digital library system? If no, will this be made available by written request under the Connecticut Freedom of Information Act?

Answer: The document the vendor refers to has been available on the Web (now at www.cslib.org/cln/rfp/index.htm) since 1997.

49. **Question**: Will the provider of the current digital library system, Auto-Graphics of Pomona, CA, be allowed to respond to this RFP?

Answer: Yes.

50. **Question**: Will the provider of the current digital library system, Auto-Graphics of Pomona, CA, provide documentation and technical support to assist in the development and execution of a conversion plan as described in Section 4.1.16.2? Will there be any cost associated for these activities? If yes, can the State specify?

Answer: The vendor will be provided with a MARC record export of the entire reQuest catalog at no cost to the vendor. There is no contractual requirement for the current vendor to provide the documentation and technical support this question indicates, but the State would of course make every effort to provide the vendor with the information that the vendor needs in order to effect a smooth transition. Any costs associated with the conversion plan should be included in the vendor's RFP response.

51. **Question**: Does the State Library have funding approval by the State legislature) to support this project initially, and additional years to cover maintenance and support costs?

Answer: The State has not yet passed a budget for FY 2004 and FY 2005, however funding for this project is based on the assumption that previous funding for the same services will continue. This is a high priority project for the Connecticut State Library.

52. **Question**: About Conversion of the statewide bibliographic databases and to import all the data into a centralized database. It is mentioned May 2004 as last date for complete data migration. Will the vendor get the formats of these

databases before the proposal end date or have to mention a rough estimate of the conversion time required? Similarly, will the vendor be given access to the database design & code of the existing iCONN.com site so as to get an idea of the internal working of the existing system?

Answer: The vendor will be provided with a MARC export of the entire database in the timeframe when the vendor needs it for data migration purposes, but this would not be provided until the implementation period. The State cannot provide this information before the proposal due date. Assuming the last question pertains to the same database, the State cannot provide any information regarding the design and code of this database since this information is proprietary to Auto-Graphics.

53. **Question**: The following URLs mentioned in the doc are not working
    a. www.cmac.state.ct.us/access/policies/accesspolicy40.html [Pages 36 & 54 of RFP0237057.pdf]
    b. www.ct.gov/cen/site/default.asp [Page 41 of RFP0237057.pdf]
    c. www.cga.state.ct.us/2001/pub/Chap061a.htm [Page 38 of RFP0237057.pdf]
    d. www.ct.gov/doit/lib/doit/downloads/entrpsys.pdf [Page 49 of RFP0237057.pdf]
    e. www.ct.gov/doit/lib/doit/downloads/platform.pdf [Page 49 of RFP0237057.pdf]
    f. www.libct.org/iconn/status.html gives error "The server for www.iconn.org is functioning. If you are unable to access this address, there may be a problem in the network that controls access to this server." [Page 71 of RFP0237057.pdf]
    g. www.ct.gov [Page 81 of RFP0237057.pdf]
    h. www.state.ct.us/das/busopp.htm [Page 185 of RFP0237057.pdf]
    i. www.oclo.org [Page 28 of RFP0237057.pdf]

Answer: The links referred to in (a) through (h) above work correctly from this location. The link referred to in (i) above is incorrect and should be www.oclc.org **If the direct link does not work from the RFP document, cut and paste the link into your browser.**

54. **Question**: Section 4.1.1
    #4 - Is it that the same label will be displayed differently in site for patrons and differently for staff? E.g., a label, 'non-musical sound recording' in staff will look as 'audio books' in site. OR, Is it that whatever label the admin chooses will be displayed for both patron (site) as well as staff?
    #5 – The vendor understands that the staff can edit the predefined error messages to be displayed on patrons site and for staff site. Will these error message text be same for both patrons as well as staff, or different?
    #7 – The vendor will need the iCONN-specific customization list, which are to be migrated to all new releases of the vendor's product.

Answer: Regarding #4, the requirement is to be able to provide customization specific to the different needs of the two populations cited, patrons and staff, which could result in the same label being used for both populations, or different labels being used for each population, as determined by CSL. For staff-only functions, there is only one user population to design for. Regarding #5, the customization would result in the same messages being presented to both patrons and staff for all patron functions. Regarding #7, this is vendor/product-specific and would be handled during the implementation phase.

55. **Question**: Section 4.1.2 #1
    The vendor will create a desktop application, which can be downloaded from the site and installed on Client PC. This Desktop application will open a default-browser instance and open a link (www.iconn.org). Please comment.

Answer: Ideally, the application should be as easy to install as a browser plug-in, should be compatible with both PCs and Macs, and should work with all the browsers referenced in Subsection 4.1.6 #8, #10 through #12.

56. **Question**: Section 4.1.14 #14
    The vendor understands that when user clicks on the "iCONN" link the vendor's system will log this to generate the statistics of how many users have visited the iCONN site through the vendor's system. Is this what the State wants?

Answer: Yes, it would be useful to know how many people visit the iCONN site and its various subparts. The State can not tell the vendor how to generate the statistics but the vendor's RFP response should describe how the system is gathering the statistics and what the statistics are able to tell the State about usage of the site that would be meaningful for reporting purposes. Further, as noted in Subsection 4.1.13, it would also be helpful for the system to be able to tell the State what the statistics it generates actually mean and how best to utilize them in management reports.

57. **Question**: Section 4.2.2.1 #7
    What the vendor understands is "It will be a role base security."

Answer: The State doesn't understand this question.

58. **Question:** Section 4.2.2.2
    #1 - What the vendor understands is, User should be given Template (look & feel) and resource selection. Please Comment.
            (a) and (b) - Users can maintain their list of favorite web sites in the system. Please comment.
    #3 - If registering user is a "Student", will he/she mention his/her class/course while registration?

Answer: Regarding #1, including both subparts, this is a correct interpretation, as the State understands the vendor's question. Regarding #3, this is an implementation question and the State would be seeking vendor solutions on how best to enable

students to access the library portals that have been customized by their teachers for specific classes/courses.

59. Question: Section 4.2.2.3 #15b
In the URL 'http://searchlight.cdlib.org/cgi-bin/searchlight', "Resume Search" result facility is not available. Only the "Terminate Search" facility can be seen. Could the State please provide a reference site for "Pause/Resume Search"?

Answer: The example applies only to 15a. This particular system (Searchlight) does not have a "resume search" capability and the State is not aware of any other system that provides this capability.

60. Question: Section 4.3.2.2
Specifies the following formats, which need detailed study. Meanwhile, the vendor would appreciate if the State could provide the vendor with the formats, as it will save the vendor a lot of time and efforts.

- The MARC format of the existing system and the formats of the 26 other software systems for the data import or loading functionality
- The openURL compliance [www.niso.org/committees/committee_ax.html] as the proposal asks for the support regarding this new framework.
- New protocol and it's implementation *The Open Archives Initiative Protocol for Metadata Harvesting*
- Formats for interpreting the data of the holdings
  - U. S. MARC, including MARC21
  - OCLC MARC
  - MicroLIF
- The systems like Geac/CLSI and Endeavor Voyager System.
- ANSI/NISO, ISO and Related Standards (Section 4.3.2.9.2)
- Z39.50 access method (Section 4.3.2.9.3)
- ALA Format (Section 4.3.2.9.5.1)
- AACR2 rules

Answer: All of the information the vendor is seeking, except that which is vendor-specific, is available through public sources and should be readily available to any vendor that is qualified to respond to this RFP. The State cannot provide vendor-specific information.

61. Question: How does a broker library work?

Answer: A broker library receives interlibrary loan requests that could not be filled through the statewide library catalog and refers those requests to the OCLC interlibrary loan system after verifying that the requested item can be obtained through OCLC. Generally, since the broker library typically charges a fee to perform this service, this service has to be requested by the borrowing library and the system needs to provide a means for the borrowing library to do this, either permanently or on a case-by-case basis. (4.3.2.9.8 #10)

62. **Question**: Suppose a request for an item is forwarded from one lending library to another and is still pending after many moves. Now if the item gets available with multiple lenders, from which lender will the patron borrow the item? Will this be according to the priority list specified?

Answer: Routing to libraries is always based on a list of potential lending libraries whether it is a CSL-specified list, a library's preferred list, or a list based on criteria (re: Subsection 4.3.2.9.6 #2-5). If an item was not available at a library on the lending list when the ILL request was initiated and subsequently becomes available, the system could route the request back to that library, provided that the request has not already been filled and has not been sent to the maximum number of lenders. A system that can automatically create lender lists that bypass libraries that will not fill the request, due to lending policy, circulation status of the item request, etc., is highly desirable.

63. **Question:** Is it important, or is it critical, that the iCONN portal site be unaffected by heavy visitor traffic coming to the site?

Answer: The iCONN portal site needs to be able to handle the amount of traffic that it will receive on a daily basis, and to be able to absorb the normal peaks and valleys that typically occur each day with no noticeable degradation in performance. As a general guideline, if the State were able to determine the *average* amount of traffic that the system receives throughout the year, and then determine the *peak* amount of traffic in that same year, the State would want to size the system to be able to handle the average of those two amounts with no noticeable degradation in performance.

64. **Question**: If 100% uptime for the portal could be guaranteed, is this an important or critical differentiator when evaluating RFP submissions?

Answer: It is an important differentiator in relation to Subsection 4.1.6 #7 (a core requirement).

65. **Question**: If near 100% iCONN portal security (against Denial of Service attacks, other intrusions externally from the Internet) could be guaranteed, is this an important or critical differentiator?

Answer: It is an important differentiator in relation to Subsection 4.1.15 #9 (a core requirement).

66. **Question**: Is speed of iCONN content delivery to customers, accessing iCONN through the Internet, an important or critical differentiator?

Answer: Speed of iCONN content delivery, apart from the statewide library catalog, is contingent on the responsiveness of electronic resources (e.g., Gale InfoTrac OneFile) that are outside the scope of this RFP. As regards the statewide library

catalog, mandatory response time requirements have been specified in Subsection 4.1.7.

67. **Question**: Is the capability of being able to deliver rich media content (heavy graphics files, audio, video) in the future an important or critical differentiator?

Answer: This could be an important differentiator in relation to Subsection 4.2.2.4 #4 if "in the future" means the vendor can commit to delivering this capability by the time the acceptance period starts (should CSL decide to implement this capability). This could also be a differentiator in relation to Subsections 4.3.2.2 #4a(x) and 4.3.2.6.2 #12j, and 4.3.2.6.1.1 #8e.

68. **Question**: 4.3.2.2.1, a), b), c) (Mandatory) The vendor MUST be able to load and process bibliographic records (in MARC format) with holdings from any library automation system in Connecticut, or any bibliographic utility being used by Connecticut participating institutions. Presently, this includes the following systems: Do all of these systems and vendors export their records in MARC format?

Answer: Yes, to the best of the State's knowledge.

69. **Question**: 4.3.2.2.28,b) (Core) Hartford History Collection records (contributed to by 5 separate institutions)
    ▪ append to (rather than merge with) the database
    ▪ records are not reduplicated with other HHC records or with non-HHC records
    ▪ no authority control is applied

    In what format are these records?

Answer: These records were originally contributed in U.S. MARC format and would be exported from the current catalog in MARC21 format.

70. **Question**: 4.3.2.2.28,j) (Core) The vendor maintains a record processing profile for each library allowing the creation of special holdings displays (e.g., oversize stamp, input stamp, preceding automatic stamp and trailing automatic stamp). Please elaborate. Please elaborate on what is meant by a record processing profile. How are the stamps described applied? At what point in the workflow are they applied?

Answer: This is the profile which contributing libraries must provide to the vendor so that the vendor knows how to process their records (e.g., where in the record to locate the local call number). The State can't answer the other questions because they are too vendor-specific. Further information on this topic can be found in the document referenced in Appendix A (How Are Records/Holdings Contributed?) - www.iconn.org/staff/documents/contribreq.pdf.

71. Question: 4.3.2.3 Union Catalog Characteristics Regarding the table below the header for this section, does the table represent the actual expected size of the database in each of the years shown, or does it represent the growth expected per year?

Answer: It represents both the growth expected as well as an estimate of the actual database size based on that expected growth.

72. Question: 4.3.2.10.1 #5 (Core) At the option of participating library staff, request and other MARC resource files can be searched either simultaneously or separately. Please describe. By "other MARC resources," is CSL referring to Z39.50 resources?

Answer: It could include Z39.50 resources but would not be limited to that. For example, today it includes the LC MARC database (not as a Z39.50 resource).

73. Question: 4.3.2.10.2 #5 (Core) At CSL's direction, the vendor will provide any number of specific institutions:
   a. (Core) Full MARC record editing privileges
   b. (Preferred) Access to the LC MARC database with the ability to download multiple LC MARC records into one file
   c. (Preferred) Access to the LC Name and Subject authorities with the ability to download multiple authority records into one file.

Regarding b), does CSL expect that access to the LC MARC database will be provided via Z39.50?

Regarding c), does the CSL subscribe to and load the full LC Name and Subject authorities now? If not, does CSL expect the cost of the authority file to be included in proposals?

Answer: Regarding (b), the State does not expect that Z39.50 would have to be the access method. More important, it should be transparent to the user what the access method is. Regarding (c), the proposal should include the cost to access all the authority files.

74. Question: Attachment Three ,2.1, Hardcopy submission requirements. The binding edge margin of all pages shall be a minimum of one and one half inches (l ½"), all other margins shall be one inch (1"). However, the text boxes provided in Attachment Two, where coded vendor responses go, is a half-inch ½" margin. To comply with the requirement above, the vendor would have to move each of the text boxes. Can the vendor put its coded responses in the text boxes, and use the margin guidelines above for descriptive/explanatory text?

Answer: Yes.

75. Question: Attachment Six, Item 9, 4.3.2.6.4 #2 C & D   In Attachment Two, for this question the vendor is unable to locate requirements C and D

Answer: The Cost Worksheets have been revised to correct this problem.

76. Question: Attachment Six, Item 10, 4.3.2.9.8 #14 (a through b). Attachment Six, Item 10, 4.3.2.9.8 #15   In Attachment Two, for this question the vendor is unable to locate requirements 14 and 15 in 4.3.2.9.8. The questions appear to end at requirement #11.

Answer: The Cost Worksheets have been revised to correct this problem.

77. Question: Attachment 3, Section 8.1.1, Page 11 of 12, refers to Project Implementation Cost Worksheet 7. Should "7" be "8"?

Answer: Yes, this should read "Project Implementation Cost Worksheet 8".

78. Question: What is the break-down of the points assigned for various parameters evaluating the proposal?

Answer: The State does not provide this information until after an award is made and a contract is signed.

79. Question: In the pre-bid conference there was a reference to a portal solution being evaluated. Which is that solution?

Answer: That is a product called the AGent™ provided by Auto-Graphics.

80. Question: What is the estimated number of libraries/institutions that will participate and use the proposed system?

Answer: There are an estimated 1,800+ libraries of all types in Connecticut, but the proposed system is also intended to be available to all Connecticut residents.

81. Question: Please clarify the number of copies you require of the proposal in print and electronic form.

Answer: The State requires one original copy of the entire proposal in print form and one copy of the entire proposal in print form. The "entire proposal" includes all business, technical, costs, manuals and systems documentation. The cost proposals are required to be packaged separately from the technical   In addition, the State requires:

- six (6) copies of the Business & Technical proposal with exhibits in print form
- four (4) copies of the Cost Proposal in print form
- six (6) copies of all systems documentation and manuals in either print or electronic form (in either Word 2000 or Adobe format)

Exhibits may be supplied in a separate package if there isn't room in the binder pockets.

82. **Question**: Attachment Three, 8.2.1 Financial Status, 1) Two (2) complete sets of audited financial statements for the last three (3) years. The State has requested one hard copy of the Cost Proposal, but two sets of the audited financial statements. Does the State wish the vendor to supply the two sets of financial statements in the one hard copy of the cost proposal, to include one set of statements with the cost proposal and another set of statements in a separate hard copy volume, or should the vendor put both sets of financial statements in a single volume that is separate from the Cost Proposal hard copy? Further, would the State like both sets of financial statements to be provided electronically on the same CDs as the electronic copies of the Cost Proposal?

Answer: The State requires two (2) complete sets of audited financial statements for the last three (3) years submitted with the original proposal.

83. **Question: Will the library staff provide Level 1, Level** 2 or any other kind of support to the patrons or is that support expected from the vendor hosting the solution?

Answer: Vendors should be prepared to provide that support even though the library staff of the patron's home library may, depending on the time of day, the nature of the problem and other variables, be the first point of contact. More important is to design the system to be so easy to use that support is not needed at all, or is needed so infrequently as to render the cost to provide it inconsequential.

COST WORKSHEETS

TABLE OF CONTENTS

COST WORKSHEET 1
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
CORE SYSTEM A

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Charges	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	4.1.16.3 #1a (inclusive), #4, #4a		
3	4.1.17 #1, #1a, #3, #3a		
4	4.2 (inclusive of all mandatory and core system requirements except 4.2.2.4 #4)		
5	4.2.2.4 #4		
5	4.3.2.2 #4, #4a, #4a (i)		
7	4.3.2.2 #14f (i)		
8	4.3.2.5 #1		
9	4.3.2.6.4 #1		
10	4.3.2.6.4 #2, #2a, #5		
11	4.3.2.9.8 #10 (a through b)		
12	4.3.2.9.8 #11		
13	4.3.2.10.2 #1, #1a, #1g, #1(i) through #1(m), #2, #4 (inclusive), #5, #5a		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 2
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
CORE SYSTEM B

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	4.1.16.3 #1b (inclusive), #4, 4a		
3	4.1.17 #1b (inclusive), #3, #3a		
4	4.2 (inclusive of all mandatory and core system requirements except 4.2.2.4 #4)		
5	4.2.2.4 #4		
6	4.3.2.2 #4, #4a, #4a (i)		
7	4.3.2.2 #14f (i)		
8	4.3.2.5 #1		
9	4.3.2.6.4 #1		
10	4.3.2.6.4 #2, #2a, #5		
11	4.3.2.9.8 #10 (a through b)		
12	4.3.2.9.8 #11		
13	4.3.2.10.2 #1, #1a, #1g, #1(i) through #1(m), #2, #4 (inclusive), #5, #5a		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 3
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM A

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	All **Preferred** System requirements in Attachment 2 responded to affirmatively and not priced separately below	Included in total below	Included in total below
3	4.1.3 #1b		
4	4.1.3 #2		
5	4.1.5 (inclusive)		
6	4.1.6 #13		
7	4.1.14 #1 through #7, #11, #13, #14		
8	4.1.14 #8		
9	4.1.14 #10 (inclusive)		
10	4.1.14 #12		
11	4.1.14 #12a		
12	4.1.16.3 #1a (inclusive), #2, #4 through #5		
13	4.1.17 #1, #1a, #2 through #5		
14	4.2 (inclusive of all mandatory, core and preferred system requirements except 4.2.2.2 (inclusive), 4.2.2.4 #1 (inclusive), 4.2.2.4 #4, 4.2.2.4 #5 and 4.2.3 (inclusive))		
15	4.2.2.2 (inclusive)		

16	4.2.2.4 #1 (inclusive)		
17	4.2.2.4 #4		
18	4.2.2.4 #5		
19	4.2.3 (inclusive)		
20	4.3.2.2 #4 (inclusive) and 4.3.2.6.2 #12 (inclusive)		
21	4.3.2.2 #7 (inclusive)		
22	4.3.2.2 #13a		
23	4.3.2.2 #13b		
24	4.3.2.2 #13c		
25	4.3.2.2 #13d		
26	4.3.2.2 #14f (i)		
27	4.3.2.5 #1 (inclusive)		
28	4.3.2.5 #2		
29	4.3.2.5 #3		
30	4.3.2.5 #4		
31	4.3.2.5 #5		
32	4.3.2.5 #6		
33	4.3.2.6.2 #13 (inclusive)		
34	4.3.2.6.4 #1 (inclusive)		
35	4.3.2.6.4 #2 through #5		
36	4.3.2.6.5 (inclusive)		
37	4.3.2.7 #3		

38	4.3.2.9.2 #1a		
39	4.3.2.9.2 #1b		
40	4.3.2.9.2 #1c		
41	4.3.2.9.2 #1d		
42	4.3.2.9.2 #1e		
43	4.3.2.9.2 #1f		
44	4.3.2.9.2 #1g		
45	4.3.2.9.3 (inclusive)		
46	4.3.2.9.4 #6 (inclusive), #7 (inclusive)		
47	4.3.2.9.4 #22		
48	4.3.2.9.8 #1 through #3		
49	4.3.2.9.8 #8 through #9		
50	4.3.2.9.8 #10 through #11		
51	4.3.2.10.2 (inclusive)		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 4
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM B

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	All **Preferred** System requirements in Attachment 2 responded to affirmatively and not priced separately below, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
3	4.1.3 #1b		
4	4.1.3 #2		
5	4.1.5 (inclusive)		
6	4.1.6 #13		
7	4.1.14 #1 through 7, 11, 13-14		
8	4.1.14 #8		
9	4.1.14 #10 (inclusive)		
10	4.1.14 #12		
11	4.1.14 #12a		
12	4.1.16.3 #1b (inclusive), #2, #4 through #5		
13	4.1.17 #1b (inclusive), #2 through #5		
14	4.2 (inclusive of all mandatory, core and preferred system requirements except 4.2.2.2 (inclusive), 4.2.2.4 #1 (inclusive), 4.2.2.4 #4, 4.2.2.4 #5 and 4.2.3 (inclusive))		

15	4.2.2.2 (inclusive)		
16	4.2.2.4 #1 (inclusive)		
17	4.2.2.4 #4		
18	4.2.2.4 #5		
19	4.2.3 (inclusive)		
20	4.3.2.2 #4 (inclusive) and 4.3.2.6.2 #12 (inclusive)		
21	4.3.2.2 #7 (inclusive)		
22	4.3.2.2 #13a		
23	4.3.2.2 #13b		
24	4.3.2.2 #13c		
25	4.3.2.2 #13d		
26	4.3.2.2 #14f (i)		
27	4.3.2.5 #1 (inclusive)		
28	4.3.2.5 #2		
29	4.3.2.5 #3		
30	4.3.2.5 #4		
31	4.3.2.5 #5		
32	4.3.2.5 #6		
33	4.3.2.6.2 #13 (inclusive)		
34	4.3.2.6.4 #1 (inclusive)		
35	4.3.2.6.4 #2 through #5		
36	4.3.2.6.5 (inclusive)		

37	4.3.2.7 #3		
38	4.3.2.9.2 #1a		
39	4.3.2.9.2 #1b		
40	4.3.2.9.2 #1c		
41	4.3.2.9.2 #1d		
42	4.3.2.9.2 #1e		
43	4.3.2.9.2 #1f		
44	4.3.2.9.2 #1g		
45	4.3.2.9.3 (inclusive)		
46	4.3.2.9.4 #6 (inclusive), #7 (inclusive)		
47	4.3.2.9.4 #22		
48	4.3.2.9.8 #1 through #3		
49	4.3.2.9.8 #8 through #9		
50	4.3.2.9.8 #10 through #11		
51	4.3.2.10.2 (inclusive)		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

ATTACHMENT 6

COST WORKSHEET 5
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.1.9 #2 (inclusive)

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.1.9 #2 (inclusive) – provide cost per language supported		

* Applicable to all three years of the contract

COST WORKSHEET 6
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.1.19 #3 (inclusive)

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.1.19 #3 (inclusive) – provide cost per language supported		

* Applicable to all three years of the contract

COST WORKSHEET 7
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.3.2.4 #6b

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.3.2.4 #6b		

* Applicable to all three years of the contract

COST WORKSHEET 8
PROJECT IMPLEMENTATION COSTS WORKSHEET
IDENTIFICATION OF ALL COSTS (IF ANY) THAT THE STATE WILL BE BILLED
BETWEEN CONTRACT SIGNING AND JULY 1, 2004

Item	Implementation Task	Due Date	Amount Billed
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
	TOTAL NOT-TO-EXCEED PAYMENTS DUE PRIOR TO JULY 1, 2004		

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

AMENDMENT # 2   June 2, 2003

The Due Date for submission of Vendor questions has been extended to June 13, 2003. Attached is the Vendor List from the Vendor Conference on May 30, 2003.

Note: A signature line has been included below. A copy of this page signed in ink is required with the Proposal to show that vendors have received this Amendment.

APPROVED:_____

HOLLY MILLER-SULLIVAN
DIRECTOR
CONTRACTS AND PURCHASING DIVISION

_____

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT
(THIS PAGE Must be signed and returned WITH PROPOSAL)

Participants in Vendor Conference for RFP-023-A-29-7057 on May 30, 2003

First Name	Last Name	Company	Address	City	ST	Zip	Phone	E-Mail
Kenneth	Blakeman	Akamai	96 Carrier Avenue	Peterborough	NH	03458	603-924-3268	
Midge	Benjamin	Auto-Graphics	3201 Temple Avenue	Pomona	CA	91768	617-306-5334	
John	Bastin	Covansys	100 Roscommon Dr., Suite 120	Middletown	CT	06457	860-613-4511	jbastin@covansys.com
Kenneth	Golden	Daniel Penn Associates	151 New Park Avenue	Hartford	CT	06106	860-232-8577	kgolden@danielpenn.com
Sean	Murray	Dell	200 High Street, 6th Floor	Boston	MA	02110	617-737-9151	Sean_Murray@dell.com
Larry	Menlove	Dynix	400 West 5050 North	Provo	UT	84604	801-223-5675	lmenlove@dynix.com
Marian	Carney	Endeavor	P.O. Box 242	Dublin	NH	03444	877-210-5239	carney@endinfosys.com
Andrew	Gasper	Entegram	5 Waterside Crossing	Windsor	CT	06095	860-687-9906	dgasper@entegram.com
Tom	Eppes	Entegram	5 Waterside Crossing	Windsor	CT	06095	860-687-9906	teppes@entegram.com
Michel	Ridgeway	Fretwell-Downing	923 West King Road	Malvern	PA	19355	610-725-0303	michel.ridgeway@fdgroup.com
David	Gambas	Horizon Management Services	477 Connecticut Blvd.	East Hartford	CT	06108	860-282-6124	
Gerald	Baseel	IBM	1 Financial Plaza, 12th Floor	Hartford	CT	06103	860-275-5570	gbaseel@us.ibm.com
Henwell	Chou	KT International	20 Westbrook Street	East Hartford	CT	06108	860-289-0728	henwell@ktinternational.com
Kitty	Ing	MCI	280 Brownstone Ridge	Meriden	CT	06451	203-686-1916	kitty.ing@mci.com
Tarak	Vallurupalli	Ocean Wave Technologies	8 Appolossa Drive	N.Grafton	MA	01536	508-887-8771	tarakv@oceanwavetech.com
Robert	Smith	OCLC	P.O. Box 287021	New York	NY	10128	212-828-6722	robert_smith@oclc.org
Joe	Singh	PCC Technology Group	2 Barnard Lane	Bloomfield	CT	06002	860-242-3299	jsingh@pcctg.com
Luke	Rajkumn	PCC Technology Group	2 Barnard Lane	Bloomfield	CT	06002	860-242-3299	luke@pcctg.com
Patrick	Jones	Progressive Technology Federal Systems Inc	7315 Wisconsin Avenue	Bethesda	MD	20814	240-447-8968	mailto:pjones@ptfs.com

Kenneth	DiFiore	Progressive Technology Federal Systems Inc	7315 Wisconsin Avenue	Bethesda	MD	20814	301-654-8088	kennethdifiore@yahoo.com
Michael	Cwalinski	Saztec International	900 Middlesex Tpke	Billerica	MA	01821	978-901-9644	mcwalinski@saztec.com
Deepika	Saksena	SDG Corporation	65 Water Street	Norwalk	CT	06854	203-866-8886	deepika.saksena@sdgc.com
Rajneesh	Misra	SDG Corporation	65 Water Street	Norwalk	CT	06854	203-866-8886	rajneesh.misra@sdgc.com
Scott	Weimer	VTLS	1701 Kraft Drive	Blacksburg	VA	24060	540-557-1200	weimers@vtls.com
Edward	Esteves	Xerox	360 Bloomfield Avenue	Windsor	CT	06095	860-683-7506 mailto:edward.esteves@usa.xerox.com	
David	DeRosa	Xerox	360 Bloomfield Avenue	Windsor	CT	06095	800-225-5979 mailto:david.derosa@usa.xerox.com	

STATE OF CONNECTICUT
DEPARTMENT OF INFORMATION TECHNOLOGY
101 East River Drive
East Hartford, CT 06108

AMENDMENT # 1   May 23, 2003

The Due Date for submission of Vendor Proposals has been extended to July 14, 2003.
The Time and Location remain unchanged.

Note: A signature line has been included below. A copy of this page signed in ink is required
    with the Proposal to show that vendors have received this Amendment.

APPROVED:_____

            HOLLY MILLER-SULLIVAN
            DIRECTOR
            CONTRACTS AND PURCHASING DIVISION

_____

VENDOR'S SIGNATURE ACKNOWLEDGING RECEIPT
(THIS PAGE Must be signed and returned WITH PROPOSAL)

STATE OF CONNECTICUT

DEPARTMENT OF INFORMATION TECHNOLOGY

REQUEST FOR PROPOSAL

RFP #023-A-29-7057

Connecticut Digital Library

Date Issued: May 15, 2003

Due Date & Time: **June 30, 2003 @ 2:00 p.m. Eastern Time**

Send all sealed responses to:

State of Connecticut
Department of Information Technology
Contracts & Purchasing Division
ATTN: Holly Miller-Sullivan
101 East River Drive
East Hartford, CT 06108

Vendor Conference on May 30, 2003 @ 9:30 a.m.

Parking is permitted in the Pitkin Street parking lot, located on the corner of Pitkin Street and East River Drive. Visitors parking in the Sheraton Hotel parking lot are subject to being towed by the Sheraton.

Vendor will <u>not</u> be admitted, if they do <u>not</u>:

♦ Have a valid photo identification

Holly Miller-Sullivan

Director of Contract & Purchasing *Division*

(Original Signature on Document in CPD Files)

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SECTION 1.   FORWARD

1.1.   Introduction

The Contracts and Purchasing Division of the State of Connecticut Department of Information Technology (DOIT) is issuing this Request for Proposals on behalf of the State of Connecticut State Library (the "Department"). This document and its attachments define the requirements for the project.

This RFP is intended to implement the following elements of the Connecticut Digital Library (iCONN):

- Systemwide elements (Attachment 2, Section 4.1)
- Library Portal (Attachment 2, Section 4.2)
- Statewide Library Catalog & Associated Services (Attachment 2, Section 4.3).

The primary deliverables of this RFP are:

- A statewide library union catalog with the following associated services:
    - public-access search engine
    - interlibrary loan system
    - searchable library information database
    - holdings maintenance module
    - MARC editor for CSL staff and assigned participating library staff
- Conversion of the statewide bibliographic database
- A library portal that provides simultaneous search and retrieval of a wide range of heterogeneous information resources on the Web, including: all iCONN licensed electronic resources, public domain electronic resources, the statewide library catalog, any individual web-accessible library catalogs selected by CSL for access, and web-based search services such as Google or Amazon.
- All services to patrons are Web-accessible
- All services are hosted by the vendor(s)
- Services are customized
- Services conform to the State of Connecticut's standards for Web accessibility
- Management/Implementation Services:
    - Ongoing technical support ("help desk")
    - Training and documentation

DOIT's Contracts and Purchasing Division (CPD) is responsible for processing and authorizing all procurement activities for Information Technology hardware, software and services.

1.2.   Evaluation

An evaluation team will review all Vendor responses to this RFP. The evaluation team shall review the entire Business and Technical Proposal first, without reference to the Cost Proposal. The Business and Technical Proposal will be scored in accordance with a weighting scheme established and approved prior to the opening of any proposal. The Cost Proposal will only be

scored for Vendors whose Business and Technical Proposal achieve a predetermined minimum score.

To identify the most cost-effective solution to the State, the Cost Proposal shall be scored, separately considering both proposed pricing and several measures of Total Cost of Ownership (TCO). The State reserves the right to infer or add costs that in the State's opinion have not been included in the Vendor's proposal that will contribute to the State's total cost of ownership.

1.3. Implementation

As a result of the evaluation process, if the proposal of a given Vendor is found to be most advantageous, the State shall select that Vendor to negotiate a contract with the State for the implementation of the Vendor's proposal. The State will notify all Vendors who submit proposals as to any award issued as a result of this RFP.

SECTION 2.   ADMINISTRATIVE REQUIREMENTS

2.1.   Vendor Instructions

2.1.1.   Conformance with Instructions

Vendors must conform with all RFP instructions and conditions when responding to this RFP. The State, at its discretion, may reject any nonconforming proposal.

2.1.2.   Proposal Responses to this RFP

Vendors must respond to all requirements set forth in this RFP and the Attachments.

Requirements are explicitly described in the RFP and the Attachments, as follows:

- If the requirement is described with language such as "must", "shall", "will", "will not", "may not", "cannot", "can not", "can only", "prohibited", or "required", the Vendor will consider that which is being described to be mandatory with respect to the minimum requirements of this procurement

- If the requirement is described with language such as "should", "may", "could", "suggested", or "requested", the Vendor will consider that which is being described to be optional, or not mandatory, with respect to the minimum requirements of this procurement

Vendors responding to this RFP must submit proposals with the format and content as outlined in Attachment 3 – Vendor Proposal Format and Content Requirements; e.g., Vendors must submit separate packages containing their Business and Technical Proposal and their Cost Proposal.

2.1.3.   Deviating from RFP Specifications

The State will reject any proposal that, in the opinion of the Evaluation Team, deviates significantly from the requirements of this RFP. Vendors submitting proposals with any minor deviations must identify and fully justify such deviations for State consideration.

2.1.4.   Vendor Questions and State Replies

The DOIT Contracts and Purchasing Division will reply to any written Vendor questions that it receives in accordance with Section 3.1.3 herein, no later than the Vendor Questions Due date specified in Section 3.1.1 herein. Questions received after 2:00 P.M. on June 6, 2003 or that do not comply with the requirements of Section 3.1.3 will not be answered.

Responses to Vendor questions will be in writing via the web page or through email. The State may, at its sole discretion, orally communicate responses to Vendors if it is likely that written responses will not reach them prior to the proposal due date. However, oral communications notwithstanding, the State shall be bound only by the written documents.

2.1.5.   Identifying RFP Communications

All proposals and other communications with the State regarding this RFP must be submitted in writing in sealed envelopes or cartons clearly identifying the following:

1)   The appropriate RFP reference key (i.e., RFP #023-A-29-7057)

2)   The applicable proposal due date and time (i.e., 2:00 PM Eastern Time on June 30, 2003)

3)   The name and address of the originating Vendor

4)   An indication of the envelope contents (e.g., "BUSINESS & TECHNICAL PROPOSAL," "NEGATIVE RESPONSE," "QUESTIONS," "COST PROPOSAL," OR "BENCHMARK").

Any material received that does not so indicate its RFP related contents will be opened as general mail, which may not ensure timely receipt and acceptance.

2.1.6.   Acceptance of Administrative Requirements

Vendor proposals must include unequivocal statements accepting the administrative requirements of this RFP, and must reflect compliance with such requirements. Any failure to do so may result in the rejection of the proposal. These statements must be included in the Transmittal Letter.

2.1.7.   Exclusion of Taxes from Prices

The State of Connecticut is exempt from the payment of excise and sales taxes imposed by the Federal Government and/or the State. Vendors remain liable, however, for any other applicable taxes.

2.1.8.   Vendor Contact(s)

The proposal must provide the name, title, address, telephone number and email address of the contact person(s) responsible for clarifying proposal content and for approving any agreement with the State. This information must be included in the Transmittal Letter (see Attachment 3 – Vendor Proposal Format and Content Requirements for detail)

2.1.9.   Validation of Proposal Offerings

The proposal shall be a binding commitment which the State may, at its sole discretion, include, by reference or otherwise, into any agreement with the Vendor. Therefore, each proposal copy must be validated by the signature of a person having such authority to commit the Vendor. The signer's authority in this regard must be authenticated by a signed statement to that effect by an appropriate higher-level company official. A Vendor Proposal Validation and Authentication Statement, attached to this RFP as Attachment 4 – Vendor Proposal Validation and Authentication Statement, must be used for this purpose.

2.1.10.   Proposal Completeness

To be acceptable, proposals must respond to and contain all required information and statements in the form requested by this RFP. Vendor proposals may submit "none" or "not applicable" responses to any RFP question and information request, when such a response is the only appropriate response (see Attachment 3 – Vendor Proposal Format and Content Requirements for additional detail on responding to requirements).

2.1.11.   Restrictions on Contacts with State Personnel

From the date of release of this RFP until the right to negotiate a contract is awarded as a result of this RFP, all contacts with personnel employed by or under contract to the State of

Connecticut are restricted. During the same period, no prospective Vendor shall approach personnel employed by or under contract to the State, any other State agency participating in the evaluation of proposals, or any other related matters. An exception to the foregoing will be made for Vendors who, in the normal course of work under a valid contract with other State agencies, need to discuss legitimate business matters concerning the relationship of their work.

Violation of these conditions may be considered sufficient cause by the State to reject a Vendor's proposal, irrespective of any other consideration.

2.2. Other Conditions

2.2.1. Control of RFP Events and Timing

Timing and sequence of events resulting from this RFP will be determined by the State.

2.2.2. Proposal Expenses

The State of Connecticut assumes no liability for payment of any costs or expenses incurred by any Vendor in responding to this RFP.

2.2.3. Ownership of Proposals

All proposals submitted in response to this RFP and upon receipt by the Department shall become the sole property of the State.

2.2.4. Oral Agreement or Arrangements

Any alleged oral agreements or arrangements made by Vendors with any State agency or employee will be disregarded in any State proposal evaluation or associated award.

2.2.5. Other Rights Reserved

The State, at its sole discretion in determining that its best interests would be served, reserves the right to:

1) Amend or cancel this RFP at any time prior to contract award

2) Modify deadlines through amendments to this RFP

3) Refuse to accept, or return accepted proposals that do not comply with procurement requirements

4) Reject the proposal of any Vendor in default of any prior contract or for misrepresentation of material presented

5) Reject any Vendor's response that is received after the deadline

6) Reject any proposal which is incomplete or in which there are significant inconsistencies or inaccuracies

7) Accept or reject any or all proposals submitted for consideration in whole or in part; and to waive technical defects, irregularities, or omissions

8) Allow no additions or changes to the original proposal after the due date specified herein, except as specifically requested and authorized by the State

9) Require organizations, at their own expense, to submit written clarification of proposals in a manner or format that the Department may require

10) Require organizations, at their own expense, to make oral presentations at a time selected and in a place provided by the Department. Invite Vendors, but not necessarily all, to make an oral presentation to assist the Department in their determination of award. The Department further reserves the right to limit the number of Vendors invited to make such a presentation. The oral presentation shall only be permitted for purpose of proposal clarification and not to allow changes to be made to the proposal

11) Negotiate separately any service in any manner necessary

12) Contract with one or more Vendors who submit proposals

13) Consider cost and all factors in determining the most advantageous proposal for the Department

14) Contract for all or any portion of the scope of work or tasks within this RFP

2.2.6. Holdback Requirements

Payments for deliverables accepted by the Department shall be subject to a twenty-percent (20%) holdback. The Department shall hold ten-percent (10%) until such time as the Department has accepted the project deliverables. The remaining ten-percent (10%) of the hold back will be released upon satisfactory completion of the first year of warranty.

The successful Vendor will be required to complete milestones by due dates presented in the Vendor's response to the RFP requirements. If the Vendor fails to complete a milestone by the agreed upon due date, the Department shall have the discretion to withhold any payment due until the Vendor has completed a subsequent milestone in accordance with its proposed due date.

2.2.7. Remedies and Liquidated Damages

Remedies associated with nonperformance, substandard performance, or unacceptable performance will include liquidated damages and non-financial remedies. Examples of remedies include, but are not limited to:

1) Corrective action plans to be developed and implemented by the Vendor, subject to Department approval

2) Accelerated monitoring of Vendor performance by the Department or its designee, including access to Vendor facilities, records, and personnel

3) Additional or ad hoc reporting by the Vendor, at no cost to the Department, to address performance issues

4) Pass-through of a proportional share of federal disallowances and sanctions/penalties imposed on the State and resulting from the Vendor's performance or non-performance under the system services agreement

5) Liquidated damages.

2.2.8. System Non-Acceptance

Failure of the System to be accepted by the State as proposed by the Vendor may result in the forfeiture of the Holdback by the Vendor to the State, as specified above, or other remedies or measures permitted by contract or by law.

2.2.9. Warranty

The Vendor shall represent and warrant in the proposal that the System shall function according to the RFP requirements and Vendor's written specifications and that it shall be free from defects in materials and workmanship for a minimum period of one year after the Department's acceptance of the System.

Vendor shall represent and warrant in the proposal that the Vendor shall modify, adjust, repair and/or replace said System as the Department deems it to be necessary or appropriate to have it perform in full accordance with the terms and conditions of the RFP.

2.2.10. Vendor Presentation of Supporting Evidence/Surety

Vendors must be prepared to provide any evidence of experience, performance ability, and/or financial surety that the State deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

2.2.11. Vendor Demonstration of Proposed Products

Vendors must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided at a site approved by the State and without cost to the State.

2.2.12. Vendor Misrepresentation or Default

The State will reject the proposal of any Vendor and void any award resulting from this RFP to a Vendor who materially misrepresents any product and/or service or defaults on any State contract.

2.2.13. State Fiscal and Product Performance Requirements

Any product acquisition resulting from this RFP must be contingent upon contractual provisions for cancellation of such acquisition, without penalty, if the applicable funds are not available for required payment of product and/or service costs or if the product and/or service fails to meet minimum State criteria for acceptance.

2.2.14. Conformance of Awards with State Statutes

Any contract resulting from this RFP must be in full conformance with State of Connecticut statutory, regulatory and procedural requirements.

2.2.15. Erroneous Awards

The State reserves the right to correct inaccurate awards, including canceling an award and contract, resulting from its clerical errors.

2.2.16. Corporate Reporting Responsibility

Upon request by the Department and/or DOIT, the Vendor must provide:

1) A Certificate of Authority, Certificate of Legal Existence or Certificate of Good Standing, as applicable, from the Connecticut Secretary of the State's Office, prior to the execution of the contract;

2) A tax clearance statement from the Department of Revenue Services within sixty (60) days of the execution of the contract and

3) A statement from the Department of Labor regarding employee contributions within sixty (60) days of the execution of the contract.

2.2.17. Joint Ventures

Proposals requesting joint ventures between Vendors will not be accepted. The State will only enter into a contract with a prime Vendor who will be required to assume full responsibility for the delivery/installation of equipment, wiring, software and related services identified in this RFP whether or not the equipment, products and/or services are manufactured, produced or provided by the prime Vendor. The prime Vendor may enter into written subcontract(s) for performance of certain of its functions under the contract only with written approval from the State prior to the effective date of any subcontract. The prime Vendor shall be wholly responsible for the entire performance of the contract whether or not subcontractors are used.

2.2.18. Freedom of Information

Due regard will be given for the protection of proprietary information contained in all proposals received; however, Vendors should be aware that all materials associated with the procurement are subject to the terms of the Freedom of Information Act (FOIA) and all rules, regulations and interpretations resulting therefrom. **It will not be sufficient for Vendors to merely state generally that the proposal is proprietary in nature and not therefore subject to release to third parties. Any proposal that makes such a general or overarching claim may be subject to disqualification. Those particular sentences, paragraphs, pages or sections, which a Vendor believes to be exempt from disclosure under the FOIA, must be specifically identified as such.** Convincing explanation and rationale sufficient to justify each exemption consistent with the FOIA Section 1-210 of the Connecticut General Statutes, must accompany the proposal. The rationale and explanation must be stated in terms of the prospective harm to the competitive position of the Vendor that would result if the identified material were to be released and the reasons why the materials are legally exempt from release pursuant to the above-cited statute.
Between the Vendor and the State, the final administrative authority to release or exempt any or all material so identified rests with the State.

ALL SUCH MATERIAL SHALL BE SUBMITTED IN A SEPARATE SEALED ENVELOPE AND MARKED 'CONFIDENTIAL'. THIS INCLUDES ANY INFORMATION REQUESTED IN AN ELECTRONIC FORMAT.

2.2.19. Security Clearance

A Vendor receiving an award from this RFP must understand that all employees including subcontractor personnel shall be subject to all applicable State and State Agency security procedures.

2.2.20. Authorized to Work on Project

A Vendor receiving an award from this RFP must certify that all personnel are legally authorized to work on the project, pursuant to State and Federal guidelines, policy, mandates, and statutes, and further attest, under penalty of perjury, that all proposed project staff, whether named in the proposal or not, are one of the following:

1) A citizen or national of the United States, or

2) A Lawful Permanent Resident, or

3) An Alien authorized to work until all project responsibilities have been fulfilled.

Vendor must agree that each individual proposed at any time to perform activities on the project will be subject to an individual certification of authorization to work on the project.

2.2.21. Key Personnel

The Vendor must certify that all personnel named in their proposal shall actually work on the contract in the manner described in their proposal. No changes, substitution, additions or deletions shall be made unless approved in advance by the State, which approval shall not be unreasonably withheld. In addition, these individuals shall continue for the duration of the Contract, except in the event of resignation or death. In such event, the substitute personnel shall be approved by the State.

During the course of the Contract, the State reserves the right to approve or disapprove the Vendor's or any subcontractor's staff assigned to the Contract, to approve or disapprove any proposed changes in staff, or to require the removal or reassignment of any Contractor employee or subcontractor employee found unacceptable by the State.

Replacement of personnel who leave the Project shall be made within thirty (30) days. Replacement of any personnel shall be with personnel of equal ability and qualifications and subject to approval by the State.

2.2.22. Workers' Compensation

A Vendor receiving an award from this RFP must carry sufficient workers' compensation and liability insurance in a company, or companies, licensed to do business in Connecticut, and furnish certificates as may be required by DOIT.

2.2.23. Ownership of System

The Vendor, upon acceptance by the Department of any computer code developed as a result of this RFP, shall relinquish all interest, title, ownership, and proprietary rights (collectively, "Title") in and to the computer code and transfer said Title to the State and its designated agencies.

2.2.24. Independent Price Determination

The Vendor shall represent, warrant and certify in the Transmittal Letter that the following requirements have been met in connection with this RFP:

1) The costs proposed have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition as to any matter relating to such process with any competitor.

2) Unless otherwise required by law, the costs quoted have not been knowingly disclosed by the Vendor on a prior basis directly or indirectly to any other organization or to any competitor.

3) No attempt has been made or will be made by the Vendor to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

4) The Vendor did not participate in the RFP development process, had no knowledge of the specific contents of the RFP prior to its issuance, and that no employee of any State agency participated directly or indirectly in the Vendor's proposal preparation.

2.2.25. Offer of Gratuities

The Vendor must warrant, represent, and certify in the Transmittal Letter that no elected or appointed official or employee of the State of Connecticut has or will benefit financially or materially from this procurement. Any contract and/or award arising from this RFP may be terminated by the State if it is determined that gratuities of any kind were either offered to or received by any of the aforementioned officials or employees from the Vendor, the Vendors agent(s), representative(s) or employee(s).

2.2.26. Readiness of Offered Products

The Vendor must warrant, represent and certify in the Transmittal Letter that all system products (hardware, software, operating system, etc.) offered to the State in the proposal must be currently manufactured and available for general sales, lease, or licenses on the date the proposal is submitted except for any product developed on behalf of the State. Any proprietary products must be clearly identified as such.

2.2.27. Inspection of Work Performed

The Vendor will prepare and maintain all financial records and records of services performed as are necessary to substantiate claims for payment under this award/contract. The State of Connecticut, the Auditors of Public Accounts, or their duly authorized representatives, shall have the right at reasonable times, upon reasonable notice to the Vendor, to examine all books, records, and other compilations of data which pertain to the performance and/or charges applicable to the provisions and requirements of this award/contract. The Vendor will preserve and make available such books, records and data for a period of three years from the date of final payment under this award/contract. The Vendor will further retain such documents which are pertinent to any actions, suits, proceedings or appeals commenced during the three year period or until they have reached final disposition. The Vendor shall also make this a requirement of any subcontractors whom the Vendor engages and, accordingly, this requirement shall be included in the contract and shall survive the termination or expiration of the contract.

2.2.28. Corporate Governance

The Vendor must state in the Transmittal Letter whether it complies fully with the August 2002 corporate governance rules proposed by the New York Stock Exchange (www.nyse.com/pdfs/corp_gov_pro_b.pdf). Any non-compliance must be identified and explained.

2.2.29. Date/Time Compliance

Contractor warrants that each Hardware, Software and Firmware Product or each developed, modified or remediated item of Hardware, Software, Firmware ("item") or each service delivered under this Contract shall be able to:

a) accurately assess, present or process date/time data (including, but not limited to, management, manipulation, processing, comparing, sequencing and other use of date data, including single and multi-century formulae and leap years) before, during and after January 1, 2000.

b) properly exchange date/time data when used in combination with other information technology, provided that other information technology not covered by this Contract is Year 2000 Compliant;

c) perform as a System, as so stipulated in the Contract, and the warranty shall apply to those items as a System.

d) where appropriate, respond to two digit date input in a way that resolves the ambiguity as to century in a disclosed, defined and predetermined manner.

Notwithstanding any provision to the contrary in any warranty or warranties, the remedies available to the State under this Date/Time Compliance Warranty shall include the obligation to repair or replace any Product and/or item whose non-compliance with this Warranty or defect is discovered by Contractor or the State, all at the expense of Contractor. If the State becomes aware thereof it must be made known to Contractor in writing. This Warranty remains in effect through the 365 days following the termination of this Contract. This provision shall not be construed to extend the Warranty Term of this Contract, except as services for defects to the System and all Products shall be required under any Maintenance Term.

Nothing in this Warranty shall be construed to limit any rights or remedies the State may otherwise have under this Contract with respect to defects.

In addition, Contractor warrants that Products or items modified or remediated to achieve Date/Time compliance shall remain unaffected with respect to their functioning or performance except for processing and exchanging date data. Contractor further warrants that Products or items not being modified or remediated directly shall remain unaffected with respect to their normal functioning or performance.

2.2.30. Implementation Deadline

The Vendor will be required to pay all costs incurred by the State in continuing the operation of services with the current Contractor should the Vendor fail to satisfactorily implement the new system by July 1, 2004.

SECTION 3.   TYPICAL ACTIVITIES AFTER RFP ISSUANCE

3.1.   Vendor Communication

3.1.1.   Procurement Schedule

The following schedule has been established for this procurement; however, the ultimate timing and sequence of events resulting from this RFP will be determined by DOIT.

DATE & Time	EVENT (all times are ET)
May 15, 2003	RFP Issuance
May 30, 2003 9:30 am	Vendors' Conference
June 6, 2003, 2 pm	Vendor Questions Due
June 30, 2003, 2 pm	Vendor Proposals Due
September 1, 2003	Finish Evaluation of Proposals
December 1, 2003	Complete Contract Negotiations
December 2, 2003	System Implementation Commencement

3.1.2.   Vendors' Conference

An optional conference for Vendors will be held as listed above and on the RFP Title page at the Department of Information Technology offices located at 101 East River Drive, East Hartford, CT 06108. Vendors planning to attend are requested to contact Aleksandra Bzdyra (email: Aleksandra.Bzdyra@po.state.ct.us), no later than two business days prior to the conference and provide the names of attendees so that adequate space can be arranged. Vendors will restrict attendance at the Vendors' Conference to two representatives. Attendees will not be granted admittance to the Vendors' Conference without photo identification. Oral questions raised at the Vendor Conference may be answered orally; however, such responses will not be official, and may not be relied upon, until a written reply is issued through the DOIT Contracts and Purchasing Division (CPD).

3.1.3.   Vendors' Questions

DOIT will accept written questions submitted by 2:00 P.M. on June 6, 2003. The early submission of written questions is encouraged. Written questions must be sent via e-mail. DOIT will only respond to questions raised at the Vendor's conference and to those submitted in writing by the stated deadline. Written questions that are not submitted by email by the stated deadline will not be answered. It is the responsibility of the vendor to confirm DOIT's timely receipt of any information relative to this procurement. Address inquires to Kathleen.M.Anderson@po.state.ct.us.

3.2.   Receipt and Review of RFP Responses

Only those proposals received at the location and by the date and time specified in Section 4.2 will be opened. Proposals received after the due date will be returned unopened. Vendors that are hand-delivering proposals will not be granted access to the building without a photo id and should allow extra time for security procedures. Immediately upon opening, each proposal will be reviewed for Vendor compliance with the instructions and conditions set forth in this RFP and the attachments hereto. DOIT, at its option, may seek Vendor retraction and clarification of any discrepancy / contradiction found during its review of proposals. The Evaluation Team will evaluate only proposals complying with the administrative requirements of this RFP.

3.3. Evaluate Proposals

3.3.1. Evaluation Team

A State evaluation team will be established to review Vendor responses to this RFP.

3.3.2. Evaluation Process

The State will conduct a comprehensive, fair and impartial evaluation of proposals received in response to this procurement. The evaluation process will include not only evaluations of the entire Vendor RFP responses, but also evaluations of Vendor references, on-site demonstrations and other relevant sources of information regarding a Vendor and its products and services.

The State will evaluate requested proposal information against all RFP requirements, using criteria and methodology pre-established in coordination with the planned users of a given service.

Evaluation of proposals will include but not be limited to consideration of the Vendor's ability to implement, maintain and support a Connecticut Digital Library (iCONN) as specified. This will be measured by assessing each Vendor's proposal for the following criteria:

1) The Vendor's understanding of and compliance with the mandatory and optional business and technical requirements of the Connecticut Digital Library (iCONN) specified herein.

2) The Vendor's plan for implementing, operating, maintaining and supporting the Connecticut Digital Library (iCONN). The evaluation of this criteria will include, but not be limited to, the Vendor's proposed plan for the integration and supervision of all subcontractors, suppliers, and new and existing equipment, and the Vendor's overall proposed approach to systems integration.

3) The Vendor's ability to perform the contractual services as reflected by the qualifications and abilities of the personnel proposed to be assigned to perform the implementation, maintenance, operations and support of the Connecticut Digital Library (iCONN), including but not limited to their technical training and education, and general experience, and specific experience with solutions similar in nature and scope to the Connecticut Digital Library (iCONN).

4) The Vendor's record of favorable past performance in providing subject matter expertise to support projects of this nature and scope.

5) The Vendor's record of favorable past performance with projects of this nature and scope.

6) The sufficiency of the proposed personnel, equipment and facilities.

7) The commercial stability and financial viability of the Vendor.

Within these areas the Evaluation Team will consider (where appropriate) the following:

1) Functionality / business proposal

2) Target architecture / technical proposal

3) Implementation proposal

4) Maintenance, operations & support proposal

5) Subject Matter Expertise proposal

6) Transition proposal

7) Direct and indirect costs to the State, including TCO measures such as

    a) Proposal pricing

    b) Costs of optional elements and change order pricing schedules

    c) Vendor's fiscal and technical risks

The Evaluation Team will eliminate from the evaluation process any Vendor not fulfilling all mandatory requirements. Please see Attachment 3 – Vendor Proposal Format and Content Requirements for detailed instructions on identifying and responding to requirements.

3.4. Establish and Conduct Applicable Vendor Benchmarks

The State will determine the nature and scope of any benchmarking that it may deem to be necessary or appropriate to the evaluation of Vendor System proposals.

3.4.1. Benchmarking Purpose and Scope

The State uses benchmarks to demonstrate and validate a Vendor's proposal, to satisfy given operating requirements, and to ascertain the adequacy and timeliness of Vendor responses to user requirements.

The State may employ two benchmark phases: (1) Vendor conducted and documented tests that are not monitored by the State, and (2) actual demonstrations to the State of the Vendor's ability to perform as required.

3.4.2. Unmonitored Vendor-Documented Benchmarks

State benchmarks often require Vendors to conduct and document, within set time frames, the actual operation of their proposed service and the operation of sample functional sequences using State supplied information.

3.4.3. Live Demonstration of Benchmarks to State

The State usually requires Vendors to conduct benchmark demonstrations at a mutually agreed upon site and at no cost to the State. Such demonstrations may be conducted at the site where the Vendor conducted the unmonitored tests described above, or at a more convenient operating site that meets minimum State demonstration requirements. Should the demonstration, inspection or benchmark site be beyond Connecticut then the Vendor will be responsible for necessary travel, meals and lodging arrangements and expenses for a team of up to five (5) State representatives.

Further, the State reserves the right to request that Vendors make additional presentations, either in person or by telephone, to the Evaluation Team to clarify their proposal and respond to questions from the Evaluation Team regarding their proposal. The State also reserves the right to require additional written documentation to support and clarify information provided in the proposal. Failure to respond to such requests may, at the discretion of the Evaluation Team, result in disqualification of the Vendor from further consideration.

3.5. Implement Necessary Agreements

The State will present its Master Service Bureau Agreement once the best qualified Vendor has been selected.

Should the State fail to negotiate a contract with the best qualified Vendor, the State may continue the negotiation process and award the contract to the next most qualified Vendor and so on until either the contract is awarded or the State decides to cancel the RFP.

The State reserves the right to make any decision concerning the awarding of this contract at any time without notice.

3.6. Notification of Awards

The State will notify Vendors who submit proposals as to any contract issued by the State as a result of this RFP.

SECTION 4.   PROPOSAL REQUIREMENTS

4.1.   Proposals

The Attachments to this RFP provide Vendors with specific guidance to correctly respond to this RFP.

Take special care to ascertain that any proposal response fully complies with all of the response requirements specified in these attachments.

Attachment 1 – Glossary
Attachment 2 – Business and Technical Requirements
Appendix A – Description of reQuest
       Appendix B – reQuest Participants
       Appendix C – Issues and Opportunities Pertaining to Library Portal
       Appendix D – Matching/Deduplication Criteria
       Appendix E – Updating Multi-library Network Holding in reQuest
       Appendix F – Examples of Special Processing in reQuest
       Appendix G – Volume of Records Contributed to reQuest
       Appendix H – Slips Used by Statewide Delivery System
       Appendix I – Data Elements in the Current Library Information Database
       Appendix J – DOIT Requirements for Vendor Response Time
       Appendix K-Languages Spoken At Home in Connecticut
Attachment 3 – Vendor Proposal Format and Content Requirements
Attachment 4 – Vendor Proposal Validation and Authentication Statement
Attachment 5 – CHRO Form(s)
Attachment 6 – Vendor Proposal Cost Worksheets
Attachment 7 – Certification Regarding Lobbying
Attachment 8 - Vendor Checklist

4.2.   Proposal Submission

Vendor proposals in response to this RFP #023-A-29-7057 MUST be received at:

State of Connecticut

Department of Information Technology

Division of Contracts and Purchasing

ATTN: Holly Miller-Sullivan

101 East River Drive

East Hartford, CT 06108

no later than **2:00 PM Eastern Time on June 30, 2003** in order to be considered. Postmark dates will not be considered as the basis for meeting any submission deadline. Therefore, any Vendor proposal received after the deadline will not be accepted. Receipt of a proposal after the

closing date and time as stated herein shall not be construed as acceptance of the proposal as the actual receipt of the document is a clerical function. If delivery of proposals is not made by courier or in person, the use of certified or registered mail is suggested.

Proposals will not be publicly opened on the due date.

GLOSSARY

TERM	DEFINITION
Academic Library	A library serving a college, university or any higher education institution.
ADA	Americans with Disabilities Act.
Agency Code	This is the part of a library barcode number that is used by iCONN to identify which Connecticut institution the user is affiliated with. In a standard 14-digit CodaBar barcode, the agency code occupies positions 2-5.
ANSI	American National Standards Institute.
ARB	Architecture Review Board.
ASP	Application Service Provider.
BI	Business Intelligence.
Broker Library	In reQuest, the agency that enables a reQuest participating interlibrary loan library that does not have access to the OCLC interlibrary loan system to submit unfilled interlibrary loan requests to the OCLC interlibrary loan system.
CAT	Cataloging.
CATER	Connecticut Administrative Technology Center.
CFR	Code of Federal Regulations.
CIO	Chief Information Officer.
Circulation Status ("Circ status")	Information from a circulation system that lists availability of library material identified on a bibliographic record for loan, e.g. "available," "checked out," or "date due".
Connecticut Digital Library	Synonymous with iCONN (see below), encompasses all the services that are described in this RFP and available at www.iconn.org
Consortium/Network	Groups of libraries that share an Integrated Library System (ILS) for PAC, cataloging and/or circulation purposes. Some of these

	groups use ILS functionality, often called system holds, to accomplish Interlibrary Loan among group members.
Contributing Library.	Any library whose holdings are represented in reQuest.
Core System	In Attachment 2, all mandatory requirements (in bold font) plus all requirements in blue font plus all items in plain text.
CSL	Connecticut State Library.
CPD	Contracts and Purchasing Division.
CULS	Connecticut Union List of Serials
DBMS	Data Base Management System.
DOIT	Department of Information Technology.
DPPD	Data Processing Procurement Division (DOIT).
DST	Daylight Saving Time.
Dynamic Content Management	This refers to the management of a web site that encompasses dynamic (as opposed to static) content. A static web site is one in which all of the pages have been individually handwritten, and the content on the page does not change unless the page is edited. With a dynamic web site, each time a user requests a page with dynamic content, the page is built from the contents of a database. A Web-accessible PAC such as reQuest is an example of a dynamic we site. (Source: "Managing Database-Driven Web Content", Katrina L. Brown, Anne M. Candreva, in NetConnect, Fall (2002), p. 24-26).
Enriched Records	Bibliographic records in the statewide library catalog whose content has been enhanced with additional information, such as jacket art, table of contents, first chapter, etc. (see www.syndetics.com)
EST	Eastern Standard Time - including changes for Daylight Savings Time
ET	Eastern Time.
ETL	Extract, Transform and Load (software).

EWTA	Enterprise Wide Technical Architecture.
FOIA	Freedom of Information Act.
FTE	Full Time Equivalent (employee).
GPO	Government Printing Office.
Holdings Information	Information that identifies the owner (library) and shelf location of the material described in a bibliographic record.
Holdings Maintenance	Adding, deleting or modifying the holdings information associated with a bibliographic record in reQuest.
Holiday	Official non-workdays as designated by the Governor of the State of Connecticut.
Home Library	The library where a patron has borrowing privileges.
Host Computer	In this context, a central receiving point for the collection and storage of data. This definition does not apply to actual data communications concept of Host/Terminal communications.
iCONN	Synonymous with Connecticut Digital Library (see above).
ILL	Interlibrary loan.
ILS	Integrated Library System.
IP	Internet Protocol.
ISO	International Standards Organization.
ISP	Internet Service Provider.
IT	Information Technology.
LAN	Local Area Network.
Library Information Database	A database of general information about reQuest participating and contributing libraries.

Library Portal	A library portal is an array of information resources and services, arranged in a logical manner, for use by the patron, including at a minimum the ability to search a large number of heterogeneous information resources simultaneously and to integrate the search results.
LC	Library of Congress.
Local Area	The area within a radius of approximately fifty (50) miles of Hartford, CT.
MARC	Machine-readable cataloging.
MARS	Management and Administrative Reporting Subsystem.
Mediated ILL	The ability for a patron to submit interlibrary loan requests for review by their home library before the requests are submitted to potential lending libraries.
MIS	Management Information System.
MTBF	Mean Time Between Failures. For any given product, the average number of hours of operation between operational failures.
NCIP	NISO Circulation Interchange Protocol.
Network/Consortium	See Consortium/Network
NISO	National Information Standards Organization.
OCLC	A supplier of interlibrary loan, cataloging and other services (see www.oclo.org) to OCLC member libraries and other consortiums, such as the reQuest statewide library catalog.
Participating library	Any library that uses any of the billable statewide library catalog services, such as interlibrary loan, holdings maintenance and cataloging services.
Patron	Any non-library staff user of iCONN services.
Patron-initiated ILL	The ability for a library patron to electronically submit interlibrary loan requests to a library from any computer connected to the Internet. Patron-initiated ILL requests may be mediated or unmediated.

PAC	Public-access catalog.
Preferred System	In Attachment 2, all core system requirements plus all requirements in green font plus all items in plain text..
Procurement Process	The procurement process is the process of issuing the RFP, evaluating vendor proposals submitted pursuant to the RFP and the awarding of a contract.
Proposal	A vendor response to an RFP and/or any of its appendices which offers to supply the State with specific data processing resources according to State prescribed terms and conditions.
Regional Area	The geographic United States within a radius of approximately one hundred (100) miles of Hartford, CT.
Remedial Maintenance	Hardware and/or software maintenance beyond the initial warranty period.
ReQuest	Connecticut's web-accessible union catalog and associated services, such as holdings maintenance, cataloging, interlibrary loan and searchable library information database.
ReQuest Contributing Library or ReQuest Contributor	Any library whose holdings are represented in the reQuest statewide library catalog (main or serials catalogs).
ReQuest Main Catalog	This is a separately indexed part of the reQuest catalog, currently consisting of more than 3.7 million records and 18 million holdings. The main catalog contains records of all formats and may include some serials records that duplicate serials records in the reQuest Serials Catalog. Records in the Main Catalog derive from many sources: local systems, regional networks systems, OCLC and online cataloging.
ReQuest Participating Institution or ReQuest Participant	Any institutional **user** of reQuest services. Institutional users include libraries of all types.
ReQuest Participating Institution staff	Any participating institution employee, including volunteers.
ReQuest Serials Catalog	This is a separately indexed part of the reQuest catalog, currently consisting of more than 70,000 records and 194,000 holdings. All records and holdings in the Serials Catalog are derived from the

	Connecticut Union List of Serials (CULS) which is maintained in OCLC.
Requester	Synonymous with borrowing library.
Resulting Contract	The resulting contract is the contract awarded under this RFP that is signed with the vendor.
RFP	A Request For Proposal (such as this document or any appendix thereto), which solicits vendor proposals to satisfy State functional requirements by supplying data processing product and/or service resources according to specific terms and conditions.
School Library	A library (also referred to as a library media center) in a school that serves grades K-12.
Scoping	This feature allows a user to limit PAC search results to specific institutions that are among all institutions whose holdings are in reQuest.
Serials records	This refers to the bibliographic record for a publication that is issued in successive parts, usually printed on the front cover and in the masthead of a periodical issue or on the title page of a monographic serial. In electronic periodicals, the title appears on the welcome screen. Title changes are more frequent in serials than in other types of publications. In most libraries in the United States, periodicals are shelved alphabetically by title. (Source: www.wcsu,edu/library/odlis.html) In reQuest, the Serials Catalog consists entirely of serials records.
Software License	A State computer product acquisition from a supplier under an agreement whereby the State acquires the right to the use of the product on a designated computer system located at a designated site and under which the State does NOT acquire the licenser's: (1) title to the product nor, (2) liability for payment of any personal property tax levied upon the product, nor (3) liability for payment of any liability/casualty premium for the product.
Staff	Any participating institution employee, including volunteers.
State	The State of Connecticut, and its Departments, Institutions and Agencies or any combination thereof.

Supplier	A vendor receiving a State award to supply specific data processing resources under an agreement with the State.
Supplying library	Synonymous with lending library.
Systems Hold	Functionality that allows for Interlibrary Loan among groups of libraries that share a circulation system or Integrated Library System (ILS).
Systems Warranty Period	That period during which the quoting vendor will provide hardware/software product support and/or maintenance to the State at no charge. The State requires that any vendor system warranty cover products of "third party" origin to the same extent as the vendor warranty may apply to vendor fabricated products.
TCO	Total Cost of Ownership.
TCP/IP	Transmission Control Protocol/Internet Protocol
Training	Provide instruction in specified areas (Management overview, Operations, Maintenance and Use) on the installed systems and software.
Union Catalog	A library catalog, such as reQuest, that unifies the records and holdings of many individual library catalogs in a single, centralized catalog.
Unmediated ILL	The ability for a patron to submit interlibrary loan requests directly to potential lending libraries without being reviewed by their home library. A system that allows unmediated ILL requests should either (a) verify the validity of the patron information, often accomplished by checking with the patron information in the borrowing library's online circulation system, or (b) allow borrowing library staff to set parameters under which a patron-initiated request will be unmediated.
User	Patron or library staff member.
Vendor	The vendor as used in this RFP means the organization or individual submitting a proposal in response to this RFP, and, once the contract is awarded, the contractor resulting from this procurement process.
WAN	Wide Area Network.

WebPAC	A public-access catalog mounted as a Web resource and accessible from a Web browser.
WWW	World Wide Web.
Z39.50	A protocol that allows a target system to interpret search requests from dissimilar origin systems.

APPENDICES

FORWARD.

1.1. Introduction.

The Department of Information Technology (DOIT), Data Processing Procurement Division (DPPD), is initiating RFP action for specific components of the Connecticut Digital Library (iCONN) on behalf of the Connecticut State Library (CSL).

1.2. Objective.

This RFP is intended to implement all of the following elements of the Connecticut Digital Library (iCONN):

- Systemwide elements (Subsection 4.1)
- Library Portal (Subsection 4.2)
- Statewide Library Catalog & Associated Services (Subsection 4.3)

1.3. Project Deliverables.

The primary deliverables of this RFP are:

- A statewide library union catalog with the following associated services:
  - public-access search engine
  - interlibrary loan system
  - searchable library information database
  - holdings maintenance module
  - MARC editor for CSL staff and assigned participating library staff
- Conversion of the statewide bibliographic database
- A library portal that provides simultaneous search and retrieval of a wide range of heterogeneous information resources on the Web, including: all iCONN licensed electronic resources, public domain electronic resources, the statewide library catalog, any individual web-accessible library catalogs selected by CSL for access, and web-based search services such as Google or Amazon.
- All services to patrons are Web-accessible
- All services are hosted by the vendor(s)
- Services are customized
- Services conform to the State of Connecticut's standards for Web accessibility located at www.cmac.state.ct.us/access/policies/accesspolicy40.html

- Management/Implementation Services:
  - Ongoing technical support ("help desk")
  - Training and documentation

1.4. Schedule of Events

Below is the schedule of events which all vendors must comply with (all completion dates mean "no later than"):

Activity	Completion Date
Complete data migration	5/04
Complete development and testing of all functionality in contract that was not available as of the date of the RFP proposal response, including conformance to the state's website accessibility requirements	5/04
Complete systems acceptance	6/04
Complete customized training materials	6/04
Complete training	6/04
Go live	7/1/04

2. CURRENT SYSTEM OVERVIEW/BACKGROUND

2.1. Authorizing Statute

Sec. 4d-82. Connecticut Education Network State-Wide Universal Service Fund application. (a) The Commission for Educational Technology shall develop, with the advice and assistance of the State Board of Education, the Board of Governors of Higher Education and the Department of Information Technology, a five-year plan for the implementation of the Connecticut Education Network to provide state-of-the-art, high-speed, reliable Internet access and video, voice and data transmissions that electronically link all educational institutions in the state, including public and independent institutions of higher education, the state's libraries and all elementary, middle and secondary schools and other institutions including businesses, job centers and community organizations. The plan shall include the establishment of a Connecticut Digital Library as a component of the Connecticut Education Network to ensure on-line access by all students and residents to essential library and information resources. The CT State Library, in conjunction with the Department of Higher Education, shall administer the Connecticut Digital Library. The Connecticut Digital Library shall provide access to available on-line electronic full-text databases, a state-wide electronic catalog and interlibrary loan system and the electronic and physical delivery of library resources. The Connecticut Digital Library shall include elements specifically designed to meet the educational and research needs of the general public, higher education students and faculty and elementary and secondary school students and teachers.
(P.A. 00-187, S. 35, 75.)
History: P.A. 00-187 effective July 1, 2000.
Source: www.cga.state.ct.us/2001/pub/Chap061a.htm

2.2. iCONN: the Connecticut Digital Library

iCONN is part of the Connecticut Education Network. It provides all students, faculty and residents with online access to essential library and information resources. It is administered by the Connecticut State Library in conjunction with the Department of Higher Education. Through iCONN, a core level of information resources, including secured access to licensed databases, is available to every resident in Connecticut. In addition, specialized research information is available to college students and faculty.

iCONN began in 2000 when the Connecticut General Assembly provided funding for the purchase of licensed information databases for Connecticut's libraries, schools and colleges. The Digital Library was one of several recommendations by Lt. Governor M. Jodi Rell in the Fall of 1999.

The Goals of iCONN are:

- To ensure universal access to a core level of library and information resources for every resident of Connecticut through their public library, school, college, and from home.
- To help provide necessary information resources to every school in Connecticut so that all students are prepared to function in an information society.
- To provide information resources to the increasing number of students taking advantage of on-line courses at Connecticut's colleges and universities.
- To enhance the quality of teaching, research and education at Connecticut's colleges and universities by supporting online information resources.
- To support the information needs of all Connecticut residents.

(Source: www.iconn.org/about.html)

The licensed electronic resources currently accessible through this program to every resident of Connecticut (with appropriate authentication) are:

From the Gale Group:
- **InfoTrac** (age-appropriate levels)
  - **Kids Edition** (Full-text journals, maps, almanacs, and news articles for elementary school students) (75 full-text titles)
  - **Junior Edition** (Multi-source, curriculum based reference tool for middle school students) (90 full-text titles)
  - **Student Edition** (Multi-source, curriculum based reference tool for high school students) (270 full-text titles)
  - **OneFile** (General interest, business and periodicals) (3,100 full-text titles)
- **Expanded Academic ASAP** (Periodicals covering all academic concentrations) (1,000 full-text titles)
- **¡Informe!** (Revistas en Español) (50 full-text Spanish-language and bilingual periodicals)
- **Business & Company Resource Center** (Comprehensive company and industry information)
- **General Reference Center Gold** (Multi-source general interest reference tool) (1,200 full-text titles)
- **Health & Wellness Resource Center** (Medical information for health professionals, general readers)
- **Professional Collection** (Full text periodicals for teachers and school administrators) (300 full-text titles)
- **What do I Read Next?** (Readers advisory tool for all age groups)

In addition, two groups of electronic resources have been licensed to specific audiences:

For K-12 Schools (public and private) and Public Libraries:

From NewsBank:
- *The Hartford Courant* (Full text from 1992 - Present)

From The H. W. Wilson Company:
- **Wilson Biographies Plus** (Illustrated profiles of over 100,000 individuals from antiquity to the present)

From The Gale Group:
- InfoTrac Custom Newspaper
  - *The New York Times* (Full Text, with 12-month rolling archive)
  - *The Times (London)*
- **Discovering Collection** (a collection of 21 databases covering history, literature, biography, science and social studies)

For Academic Libraries:

From Congressional Information Service, Inc.:
- **Lexis-Nexis Academic Universe** (in-depth full-text news, business, legal, medical and reference information)

From EBSCO Publishing:
- **CINAHL** (Cumulative Index to Nursing and Allied Health Literature)
- **PsycINFO** (American Psychological Association) (Citations and summaries of journal articles, book chapters, books, and technical reports; journal coverage from 1887 to present)

From ProQuest Information and Learning Company:
- **ABI Inform Global** (Worldwide business and management information. Full text with images.)

The iCONN home page lists all databases available to the patrons and staff of public and K-12 school libraries at www.iconn.org/public_onsite.html and also at www.iconn.org/schools_onsite.html. All databases available to the patrons and staff of academic libraries are listed at www.iconn.org/colleges_onsite.html.

2.3. Statewide Library Catalog ("reQuest")

The Statewide Library Catalog (hereinafter referred to as "reQuest"), which is a component of the Connecticut Digital Library, is an ongoing program to develop and maintain a Web-accessible statewide bibliographic database that unifies the separate library catalogs of Connecticut's libraries. It can be accessed at www.iconn.org/request/index.html.

The database consists of two separate, union catalogs: a Main Catalog containing records of all book and non-book formats, including all government document depository records, and a Serials Catalog containing only serials records. The objective is to include all records and holdings in the state. A search engine provides the ability to search and retrieve records based on user-supplied criteria (e.g., author, title, subject, keyword, publication date, format of item, language, etc.).

Associated components include (1) an interlibrary loan module, which is used to create and submit requests for items in the database, and to track the progress of submitted requests from initiation to fulfillment; (2) a holdings maintenance module used by participating institution staff to add, delete or change holdings in the database, and (3) a MARC editor for use by CSL staff.

A Library Information Database (see Subsection 4.3.2.7) provides both general information about participating institutions as well as detailed information about participating institutions' interlibrary loan policies.

A more detailed description of how the statewide bibliographic database is produced and maintained today is given in Appendix A.

3.   PROPOSED SYSTEM OVERVIEW

3.1. Planned Telecommunications Environment

The State of Connecticut has started to deploy the Connecticut Education Network (CEN), which is described in more detail at www.ct.gov/cen/site/default.asp. The CEN will eventually connect all libraries, schools and higher education facilities to each other and to the Internet over a high-speed network, as funding permits.

3.2. Planned Components of the Connecticut Digital Library

The proposed Web-accessible, vendor-hosted, standards-compliant Connecticut Digital Library system is intended to:

- sharpen the focus on its usability and utility to the patron (in particular, all Connecticut residents) as its primary beneficiary;
- sharpen the accessibility focus on the growing wealth of information resources that originate in Connecticut or are accessible through Connecticut's institutions;
- maintain or improve the integrity, currency and performance characteristics of the current statewide library catalog while significantly enhancing its functionality and efficiency, both for patrons as well as for staff;
- provide a library information database integrated with the statewide library catalog;
- provide an interlibrary loan system with enhanced functionality and that is interoperable with other interlibrary loan systems based on international standards;
- provide an enhanced holdings maintenance module and MARC editor for use by staff;
- include a "library portal" that:
  - o serves as the primary interface to all resources, replacing the current interface to iCONN at www.iconn.org and the current interface to reQuest at http://rqst-iol2.auto-graphics.com/wp2000/signin.asp?cid=rqst&lid=RQST&mode=P
  - o surpasses the reach of "Google" by allowing users to selectively search reQuest (invisible to Google); other online library catalogs in Connecticut whose holdings are not in reQuest (also invisible to Google); licensed and public domain electronic full-text databases (also invisible to Google); the Web (e.g., Google); and other selected resources (also likely invisible to Google), especially those originating in Connecticut, such as Connecticut History Online—*simultaneously*
- provide user authentication and content management services
- protect the confidentiality of any personally-identifiable information supplied by patrons

4. PROPOSED SYSTEM FUNCTIONAL REQUIREMENTS.

Attachment 2 contains the system requirements.

A.   In Attachment 2, all—and only—those requirements that are in **bold font** are **mandatory** and obligatory.

B.   The **Core System** consists of all **mandatory** requirements plus all requirements in blue font plus all items in plain text.

C.   The **Preferred System** consists of all **mandatory** requirements plus all requirements in blue font plus all requirements in green font plus all items in plain text.

All mandatory and core system requirements must be responded to affirmatively in order for the Vendor's proposal to be considered.

All mandatory requirements **must** be available as of the date of the Vendor's proposal. All non-mandatory requirements that the Vendor responds to affirmatively, **must** be available by the time the acceptance period starts.

If any Vendor needs a version of Attachment 2 that shows core system and preferred system requirements without the use of colored fonts, please contact Aleksandra Bzdyra at 860-622-2103.

The Vendor is required to respond to each item below as follows:

▪   If the response indicator in the left margin is either "Status ___" or "Status A ___", the Vendor's response must conform to the available responses given in the chart on Attachment 3.

▪   If the response indicator in the left margin is "Yes ___", this is a **mandatory** requirement or a Core System requirement and the Vendor must place an "x" in the response block.

▪   If the response indicator in the left margin is "Yes ___ No ___", the Vendor must place an "x" in the "Yes" response block for an affirmative response or must place an "x" in the "No" response block for a negative response. If both response blocks are blank, this will be interpreted as a negative response.

4.1. General Requirements

Except as noted otherwise, the requirements in this section apply to **ALL** services described in this RFP and all vendors must respond.

4.1.1. User Interface Customization

Yes ___ No___   1.   The vendor will provide the means for CSL to "brand" display screens with the iCONN logo (which will be linked to www.iconn.org), explanatory text and links to further information.

Yes ___ No___   a)   This customization will be performed by the vendor at CSL's direction

Yes ___ No___   b)   The vendor will provide the means for non-technical CSL staff to perform the customization.

        c)   Please describe how you will meet this requirement.

Yes ___ No___   2.   The vendor will not place company information on any display screens visible to patrons, including but not limited to:

Yes ___ No___   a)   Logos

Yes ___ No___   b)   Copyright statement

Yes ___ No___   c)   Advertisements

Yes ___ No___   3.   The vendor will not place company information on any display screens visible to staff, including but not limited to:

Yes ___ No___   a)   Logos

Yes ___ No___   b)   Copyright statement

Yes ___ No___   c)   Advertisements

Status _____   4.   CSL can customize the look/feel and terminology of the user interface and all screens presented to both patrons and staff. For example, all library jargon should be eliminated from the public view of the catalog while at the same time affording a view of the catalog appropriate to library staff. For instance, a media qualifier label such as "non-musical sound recording" can be changed to "audio books" or "books on tape".

Status _____   a)   This customization will be performed by the vendor at CSL's direction

Status _____   b)   The vendor will provide the means for non-technical CSL staff to perform the customization.

        c)   Please describe how you will meet this requirement.

Status _____

5. CSL can customize the terminology of error messages viewed by patrons and library staff.

Status _____

a) This customization will be performed by the vendor at CSL's direction

Status _____

b) The vendor will provide the means for non-technical CSL staff to perform the customization.

c) Please describe how you will meet this requirement.

Status _____

6. CSL can customize the online help facility available to patrons and library staff.

Status _____

a) This customization will be performed by the vendor at CSL's direction

Status _____

b) The vendor will provide the means for non-technical CSL staff to perform the customization.

c) Please describe how you will meet this requirement.

Status _____

7. The vendor will ensure that all iCONN-specific customizations migrate to all new releases of vendor-provided software.

4.1.2. Desktop Icon

Status _____

1. The vendor will provide the capability for any non-technical user to automatically download an icon (in the image of the iCONN logo, as shown at www.iconn.org/staff/help.html#direct) from www.iconn.org and install the icon on the user's computer desktop as a clickable icon that, when clicked, will bring the user directly to www.iconn.org

a) Please describe how you will accomplish this.

4.1.3. Use by the Public

Status _____

1. Library patrons (including first-time patrons) can use the system to accomplish the following basic functions without assistance:

- Select one or more databases to search
- Use the search engine to successfully find an item of interest
- Display the record or full text of that item
- Place an interlibrary loan request for an item of interest

(Examples of online information retrieval systems that the general public can use without assistance are Google and Amazon.com.).

Please provide a URL at a live, production site that we can visit to directly evaluate how the system performs these functions.

Yes ___ No ___   a)   The vendor independently verifies that the library patrons can use the proposed system without assistance, e.g., by employing usability testing and focus groups. Please describe.

Status ____   b)   To the extent that assistance is required (other than assistance in connecting to the service), as determined by Connecticut residents, the vendor will provide the assistance at no charge to Connecticut residents through its toll-free customer support service.

Status ____   i)   The vendor will provide CSL with detailed monthly reports on the usage of the customer support service. The report will include, but not be limited to, number of calls; date/time of call; length of time user is placed on hold, if any; and problem description.

Status ____   ii)   The vendor will proactively use customer feedback to improve the product's ease of use and functionality (thereby reducing the need for customer service)

Status ____   2.   The vendor will provide and maintain a link to an iCONN-sponsored Live Help service on any patron-accessible pages (including search entry screens and search results pages) designated by CSL, if requested by CSL. Describe any limitations to where the link can be placed.

Status ____   3.   The system pro-actively supports the information searching needs of first-time users, novice users and experienced users.

Status ____   a)   Assists first-time and novice users in developing an age-appropriate understanding of what the system can do for the user
                            i)   Describe how you will accomplish this.

Status ____   b)   Assists the user in constructing effective search arguments that find what the user is looking for.
                            i)   Describe how you will accomplish this.

Status ____   c)   The system suggests alternate (variant or corrected) spellings of search terms (as in Google)

Status ____   d)   The system can suggest alternate search terms using a thesaurus
Status ____   i)   The system can provide crosswalks between the controlled vocabularies of different systems

Status ____   4.   The system enables CSL to capture user satisfaction survey statistics on major system functions in order to improve system operations and to capture user testimonials

Status ____   5.   The vendor will provide, host and maintain a Webform for user comments/suggestions with the results sent to multiple CSL-specified e-mail accounts

4.1.4. Help and Error Messages

Status ____   1.   The system provides a context-driven, keyword-searchable online help facility for all services.

Status ____   a)   The online help facility is customized for use by two separate populations—patrons (which includes the general public) and staff.

Status ____   i)   The patron help facility organizes information in accordance with how patrons are likely to use the facility to achieve their specific goals, e.g., by giving more prominence to frequently asked questions, and to information that is important relative to their needs and interests; is designed to maximize accessibility by being comprehensible and usable; minimizes the amount of memory and cognitive processing demand on the patron; and avoids assuming background knowledge that the patron is not likely to have. Please describe the approach you used to define what the information needs of patrons are and how you applied that knowledge to developing an online patron help facility that would meet those needs.

Yes ___ No___   a)   The patron help facility has been subjected to usability testing with patrons, and the vendor has applied the results of that testing to improving the usability of the patron help facility. Please describe.

Yes ___ No___   b)   The vendor makes ongoing improvements to the patron help facility. Please describe the process.

Status ____   ii)   The staff help facility is designed in accordance with how staff are likely to use the facility to achieve their specific goals, e.g., by giving more prominence to frequently asked questions, and to information that is important relative to their needs and interests; and is designed to maximize accessibility by being comprehensible and usable. Please describe the approach you used to define what the information needs of staff are and how you applied that knowledge to developing an online staff help facility that would meet those needs.

Yes ___ No___   a)   The staff help facility has been subjected to usability testing with staff, and the vendor has applied the results of that testing to improving the usability of the staff help facility. Please describe.

Yes ___ No___   b)   The vendor makes ongoing improvements to the staff help facility. Please describe the process.

Status ____
> b)   Users can access the online help facility without having to exit the application they are currently using

Status ____
> 2.   The system provides relevant, friendly feedback to users (including error messages) along with helpful suggestions to improve results for all services proposed.

Status ____
> a)   The feedback is customized for two separate populations—patrons (which includes the general public) and staff.

4.1.5. Alerting Service

Status ____
> 1.   The vendor will provide the capability for users to be regularly alerted when new information (e.g., books, articles, etc.) becomes accessible through the vendor's search engine (as provided in Subsections 4.2 and 4.3). (An example of an existing service associated with a library catalog can be found at http://dlis.dos.state.fl.us/blns/newbooks/onlineform.htm.)
>
> a)   Please describe how users would be able to register and update their information interests with the system and subsequently receive alerts
>
> b)   Please describe which information sources can be included within the scope of this alerting service

4.1.6. Systems Architecture

> 1.   CSL has one mandatory hosting requirement (a). In addition, CSL would like information on three additional hosting options (b to d) below.

Status A___
> **a)   All services MUST be hosted and maintained by the vendor at the vendor's site.**

Status ____
> b)   At the option of CSL, all services can be hosted and maintained by the vendor at a site of their choosing within the State of Connecticut.

Status ____
> c)   At the option of CSL, all services can be hosted and maintained by the vendor on a vendor platform located in the State's data center in East Hartford Connecticut. Please provide information on the system model that will need to be hosted, any specific facilities support requirements (e.g., space, power, back-up, etc.) and remote access requirements for system management and service maintenance (the remote access will be through a State provided secure communication path through the State's firewall).

Status ____
> d)   At the option of CSL, all or selected services can be hosted on CSL/State controlled computing resources located in the State's

data center in East Hartford Connecticut. Please provide information on the functional and capacity requirements of your preferred platforms (e.g., operating system, CPUs, memory, DASD, etc.). It is the preference of the State that the suggested platforms would conform to the State's ETWA architecture (www.ct.gov/doit/lib/doit/downloads/entrpsys.pdf and www.ct.gov/doit/lib/doit/downloads/platform.pdf). As was the case for (c) above, please state your remote access requirements for system management and service maintenance.

Status A___   **2.**   **All services MUST be accessible over a TCP/IP-based telecommunications network.**

Yes ___   3.   All services will be accessible from the current Web address of www.iconn.org. (Please see also Subsection 4.1.14.)

Yes ___   4.   The system will not intentionally deny any Connecticut resident the ability to access any service they are authorized to access.

    5.   Indicate during what days/hours, if any, those services intended for use only by library staff, including Cataloging/Holdings Maintenance and Interlibrary Loan, would be scheduled to be unavailable for access by library staff.
        a)   Explain the reason for the scheduled unavailability.

Yes ___   **6.**   **All patron services MUST be scheduled to be available 7 x 24 x 365 (excluding unavailability due to major system upgrades)**

Status ____   7.   Vendor guarantees that all patron and staff services will be available at least 98% of the time they are scheduled to be available. Indicate (as a percentage) the level of service availability you are willing to guarantee.

Status A___   **8.**   **All services intended for use by patrons MUST be accessible over the Web using standard Web browsers running on PC-compatible and Macintosh computers without the requirement for proprietary client software.**

Status ____   9.   All services intended for use only by library staff (except for the MARC editor described in Subsection 4.3.2.10 #2) are accessible over the Web using standard Web browsers running on PC-compatible and Macintosh computers without the requirement for proprietary client software.

    10.   Indicate the earliest and latest versions of Internet Explorer that your system (patron and staff functions) supports on both PC-compatible and Macintosh computers, and indicate your policy for ongoing support,

including the length of time required to support new versions of Internet Explorer and the length of time you will support older versions of Internet Explorer.

Status _____   a)   System is fully functional on Internet Explorer 5.X
Status _____   b)   System is fully functional on Internet Explorer 6.X
               c)   Please describe any and all issues relating to use of the system in Internet Explorer on Macintosh operating systems.

11.   Indicate the earliest and latest versions of Netscape that your system (patron and staff functions) supports on both PC-compatible and Macintosh computers, and indicate your policy for ongoing support, including the length of time required to support new versions of Netscape and the length of time you will support older versions of Netscape.

Status _____   a)   System is fully functional on Netscape 4.X
Status _____   b)   System is fully functional on Netscape 7.0/Mozilla
               c)   Please describe any and all issues relating to use of the system in Netscape on Macintosh operating systems.

12.   Indicate the earliest and latest versions of AOL's browser that your system (patron and staff functions) supports on both PC-compatible and Macintosh computers, and indicate your policy for ongoing support, including the length of time required to support new versions of AOL's browser and the length of time you will support older versions of AOL's browser.

Status _____   13.   Vendor will provide a separate text-only version of all services intended for use by patrons, including Subsections 4.2 (Library Portal), 4.3.2.6 (PAC), 4.3.2.7 (Library Information Database) and 4.3.2.9.4 (Patron-initiated ILL), including:
Status _____   a)   View is limited to 40-50 character column
Status _____   b)   View is limited to 25 line display

Status _____   14.   All patron and staff services support the Lynx 2.6 (or later) text-only Web browser, which assumes: no javascript required for functionality; HTML 3.2 (no later); no frames; avoids use of tables for formatting. Indicate each specific text-based browser and version that has been tested and is supported.

Status _____   15.   All patron and staff services have been tested for compatibility with other Web browsers. Indicate each specific browser and version that has been tested and is supported.
Status _____   a)   System is fully functional in Safari Web Browser (from Apple for Macintosh OS X)

Yes ___ No___

16. System does not require browser "plug-ins" in order for patron and staff services to operate fully.

Yes ___ No___   a)   Browser "plug-ins", if required for patron and staff services to operate fully, install quickly and automatically on the user's computer. Indicate what "plug-ins" are required or recommended.

Yes ___ No___   17.   If used in the proposed system, Cascading Style Sheets, regardless of level (CSS1, CSS2, etc.), do not present any compatibility problems with any browsers supported by the proposed system.

18. Vendor-provided services (both patron and staff functions) are in no way limited by third party software running on the user's computer, including:

Yes ___ No___   a)   Firewalls
                   i)   Provide the specifications (port numbers, number of ports, etc.) your services require to be fully accessible through the user's firewall

Yes ___ No___   b)   Proxy servers
                   ii)   Provide the specifications your services require to be fully accessible through the user's proxy server

Yes ___ No___   c)   Filtering software
Yes ___ No___   d)   Anti-virus software (McAfee, Norton, etc.)
Yes ___ No___   e)   Client browser plug-ins designed to prevent pop-up advertising
Yes ___ No___   f)   Other (please specify)
Yes ___ No___   g)   List all third-party software that you have tested your services with for the purpose of identifying any limitations the third party software imposes.

19. **Patrons MUST be able to use the devices they are already comfortable with in order to interact with all patron-related system functions, including:**

Status A___   a)   **PC-compatible computers**
Status A___   b)   **Macintosh computers**
Status ____   c)   PDAs with wireless Internet-connectivity
Status ____   d)   Integrated PDA/Cell phones
Status ____   e)   Tablet PCs with wireless Internet-connectivity
Status ____   f)   Telephones
Status ____   g)   WebTV
Status ____   h)   Future devices such as head-mounted displays, flexible displays ("radio paper") and holographic displays with wireless Internet connectivity

20. **Staff MUST be able to use the devices they are already comfortable with in order to interact with all staff-related system functions, including:**

Status A___   a)   **PC-compatible computers**

Status ____   b)   Macintosh computers
Status ____   c)   PDAs with wireless Internet-connectivity
Status ____   d)   Integrated PDA/Cell phones
Status ____   e)   Tablet PCs with wireless Internet-connectivity
Status ____   f)   Future devices such as head-mounted displays, flexible displays ("radio paper") and holographic displays with wireless Internet connectivity

Status ____   21.   The system automatically recognizes the device that is being used to view it and formats its display presentation accordingly.

Status ____   22.   The system allows the user to indicate what device s/he will use to view the system, which will then format its display presentation accordingly

23.   List all hardware and software requirements that must be met in both standalone workstation and LAN environments for minimum acceptable performance and for compatibility with the products/services you are proposing.

Yes ___   **24.   All services MUST support printing of text and graphics to ink jet and laser printers.**

Yes ___ No___   25.   The systems architecture is designed to enable continuous adaptation and change in response to changes in user requirements that occur over the lifetime of the system. Please describe. (Note: This requirement is particularly important for the library portal and its associated authentication services described in Subsection 4.2.)

Yes ___ No___   26.   The system can support specific services on a cross-consortium basis, e.g., enabling and managing interlibrary loan transactions between or among consortia that are using your product and wish to cooperate for this purpose. Please describe.

4.1.7. Performance Requirements

Response time in relation to the statewide library catalog (RFP Subsection 4.3) is defined as the interval of time between beginning a function (e.g., pressing the enter key) and obtaining results, regardless of time of day.

1.   **Assuming a high-speed (T1, frame relay) Internet connection, indicate (in seconds) the maximum search response time you will guarantee for each type of search listed below. The maximum acceptable search response time MUST be no more than FIVE seconds.**

Yes ___	a)	**Single word search against alphabetic index (Author, Title, or Subject)**
Yes ___	b)	**Single number search against numeric index (e.g., OCLC, ISBN, LCCN, ISSN, SuDoc)**
Yes ___	c)	**Single word search against keyword indexes using any combination of Boolean operators and searching all indexed fields**
Yes ___	d)	**Multiple word (2 - 8 words) search against keyword indexes using any combination of Boolean operators and searching all indexed fields**
Yes ___	e)	**Time to display one bibliographic record selected from a list of one or more records retrieved from a search**

Yes ___   **2.**   **Assuming a high-speed (T1, frame relay) Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in PAC administration. The maximum acceptable response time MUST be no more than SIX seconds.**

    3.   **Assuming a high-speed (T1, frame relay) Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in ILL administration, including but not limited to the functions listed below. The maximum acceptable response time MUST be no more than SIX seconds.**

Yes ___	a)	**Submit a borrowing request to the first potential lending library**
Yes ___	b)	**Update a lending request from "pending" to "in-process"**
Yes ___	c)	**Update a lending request to "shipped"**
Yes ___	d)	**Update a borrowing request to "received"**
Yes ___	e)	**Update a borrowing request to "returned"**
Yes ___	f)	**Update a lending request to "complete"**

    4.   **Assuming a high-speed (T1, frame relay) Internet connection, indicate (in seconds) the maximum search response time you will guarantee to process any single staff function in holdings maintenance and cataloging, including but not limited to the functions listed below. The maximum acceptable response time MUST be no more than SIX seconds.**

Yes ___	a)	**Adding a holding**
Yes ___	b)	**Deleting a holding**
Yes ___	c)	**Modifying a holding**
Yes ___	d)	**Downloading a MARC record**
Yes ___	e)	**Updating a MARC record**
Yes ___	f)	**Merging records and retaining all the holdings**

4.1.8. Restricting Access To Services

Status A___   **1.**   **Access to reQuest staff administration services, for example CAT and ILL staff management functions, MUST be limited to participating institution staff and authorized CSL staff.** Please describe how this is accomplished.

Status ____   a)   CSL staff can add ILL and Cataloging permissions for participating library staff, or

Status ____   b)   The vendor can add ILL and Cataloging permissions for participating library staff at the direction of CSL staff

Status A___   **2.**   **The system MUST be able to terminate any or all services to any institution that ceases participation**. Please describe.

Status ____   a)   CSL staff can terminate any or all services to any institution that ceases participation, or

Status ____   b)   The vendor at the direction of CSL staff can terminate any or all services to any institution that ceases participation

4.1.9. Special Access

Yes ___   1.   All services will comply with the State of Connecticut's Universal Web Site Accessibility Policy located at www.cmac.state.ct.us/access/policies/accesspolicy40.html.

              a)   Please describe how you will accomplish this

Status ____   2.   Screen terminology, help screens and system messages can be presented in other languages in addition to English. Please specify which languages listed in Appendix K are supported.

Status ____   a)   Users can toggle between languages on search entry and search result screens.

4.1.10. Confidentiality of Patron Information

Yes ___   1.   The system will not retain any personally identifiable information pertaining to how individuals use the system, except as may be required to complete an interlibrary loan transaction. "Personally identifiable information" includes, but is not limited to, name, home address, phone number, fax number, e-mail address, IP address, library card number, and any profiling information supplied to the system (as described in Subsection 4.1.5). How individuals use the system includes information sought or received, materials consulted, borrowed or acquired, and

includes database search records, circulation records, interlibrary loan records and system reports.

Status ____   a)   CSL can specify the maximum number of days to retain personally identifiable information in an interlibrary loan transaction after the transaction has been completed. When that maximum number of days is met, the personally identifiable information will be purged.

Status ____   b)   CSL can specify the maximum number of days to retain all back-up tapes that contain personally identifiable information. When that maximum number of days is met, the back-up tapes will be erased or destroyed. Describe how this will be accomplished.

Status ____   c)   Vendor will maintain full control over its site to prevent any violation of this policy by a third party

Status ____   d)   These guidelines do not prohibit the transfer of personally identifiable information which may be required for authentication purposes (e.g., to use a licensed database product or to complete an interlibrary loan transaction)

     e)   Describe how you will meet these requirements, including any mechanisms for the automatic purging of personally identifiable information.

Yes ___   2.   Vendor will not disclose personally identifiable information pertaining to how individuals use the system to any third party or to any nonparticipating library except as required by law. "Personally identifiable information" includes, but is not limited to, name, home address, phone number, fax number, e-mail address, IP address, library card number, and any profiling information supplied to the system (as described in Subsection 4.1.5). How individuals use the system includes information sought or received, materials consulted, borrowed or acquired, and includes database search records, circulation records, interlibrary loan records and system reports.

Yes ___   a)   Vendor will maintain full control over its site to prevent any violation of this policy by a third party

4.1.11. Ownership of Customer Information

Yes ___   1.   Vendor agrees that all files supplied by CSL or by participating libraries utilized to perform the services defined in this RFP, including bibliographic records and holdings, information contained in the library information database, profiling information, and any information used for authentication purposes, such as IP addresses and library card numbers, are the property of the Customer.

4.1.12. Termination

Yes ___   1.   Vendor agrees to turn over all files designated to be the property of CSL upon termination of the Agreement within five (5) business days of termination. Please describe how this will be accomplished.

Yes ___   2.   Vendor agrees to return custody and management of the www.iconn.org domain to CSL upon termination of the Agreement.

Yes ___ No___   a)   The vendor will achieve a smooth transition of responsibility for hosting the www.iconn.org domain from the vendor to the Connecticut State Library.

Yes ___ No___   b)   The transition will not result in any interruption of service

          i)   If there is an interruption in service, how long would it be?

4.1.13. Advanced Functionality and Services

There is an opportunity to build library systems that employ an operational *knowledge* of library practices and standards (e.g., information seeking patterns, cataloging rules, interlibrary loan codes and procedures) and *commonsense reasoning* in order to be able to communicate with and assist patrons and staff in a more helpful and intelligent manner. In essence, the opportunity is to build systems that *know what they're doing* and for that knowledge to inform all of the services which that system provides to users (patrons and staff). The development tools and techniques that could be used to "formalize" some of this knowledge have been available for many years (see www.opencyc.com for the most recent example in the open software arena, and see www.aaai.org for further information about the underlying technologies and techniques). A new research initiative by the federal government intends to build "cognitive systems":

> ""*Cognitive systems*" will demonstrate levels of autonomy and reasoning far beyond those of today's systems. With the ability to reason, learn and adapt, and with facilities for self-awareness, these will literally be *systems that know what they're doing*.

> They [cognitive systems] will possess the ability to *reason* in a variety of ways, using substantial amounts of appropriately represented knowledge; they will *learn* from experiences and improve performance using accumulated knowledge; they will be able to *explain* themselves and *accept naturally expressed guidance and direction*; they will be *aware* of their own behavior; and most importantly, they will *respond* in a robust manner to surprises … They will engage humans and other systems in dialogue to understand the desired end state, and then coordinate in unprecedented ways with other systems to get there." (www.darpa.mil/body/NewsItems/pdf/iptorelease.pdf - June 2002)

Finally, there is the opportunity to reclaim what T.S. Eliot in 1936 called "the knowledge we have lost in information" (www.cofc.edu/~betwill/Lib105/TSEliot.html).

Areas of interest for this RFP include, but are not limited to:

- Helping patrons select the optimal resources in which to conduct a search, based on:
  - knowledge of the resources the patron is authorized to use, and
  - the ability to engage in dialogue with patrons in order to understand their information needs
- Helping patrons formulate effective search strategies based on a knowledge of the search capabilities of the relevant information resources
- Having a sufficient degree of "self-knowledge" to be able to provide meaningful answers to patrons' questions about the system (e.g., what the system is, what it can be used for, what resources it can access, what questions it can answer, etc.).
- Helping patrons determine the best method of acquiring materials located by searching the statewide library catalog, based on their needs (e.g., through purchase, interlibrary loan, or by directly visiting the library)
- Enhancing the explanatory usefulness of system-generated help and error messages
- Identifying and discarding duplicate records returned from a search using a more patron-centered view of what constitutes a "duplicate" record
- Improving database quality using a knowledge of correct cataloging, for example:
  - providing more sophisticated validation checks on MARC fields in contributed records
  - assisting in the review of records rejected by authority control processing
  - analysis of records rejected due to physical or logical errors
- Customizing the alert service to provide alerts to individual users of new information relevant to their interests wherever that information exists
- Providing staff with the capability of establishing systemwide "if-then" or "condition-action" rules that can in turn be used by the various system modules (e.g., interlibrary loan, cataloging, statistics, etc.) to generate reports or to take specific actions, or by staff to more effectively evaluate overall system performance (using key indicators)

- Providing staff with analytical capabilities that can extract "information" or "meaning" from the increasing volumes of "raw data" that statistics modules are capable of generating, that can in turn be used to plan system improvements or improve current operations
  - Enabling the system to use the same data to independently tune itself within preset limits in order to improve performance
- Enhancing the value and accuracy of information provided by the content management system described in Subsection 4.1.14
- Increasing system security (e.g., detecting unauthorized intrusions)
- Proactively monitoring the use of personally identifiable information to ensure that it is purged from the system as soon as it is no longer needed
- Being able to authenticate users as Connecticut residents or as the patrons or staff of a specific Connecticut library in a manner that reduces the burden associated with accessing services while protecting user confidentiality
- Proactively assisting users and help desk staff in the process of problem determination

Yes ___ No___   1.   The vendor is currently conducting research to identify how knowledge-based systems, as described above, could be used to augment any of the products and services proposed in your RFP response. Please describe.

Yes ___ No___   2.   The vendor has projects currently underway to develop knowledge-based systems, as described above, to augment the products and services proposed in your RFP response. Please describe how the products and services would be augmented.

4.1.14. Web Hosting and Dynamic Content Management Services

The library portal home page is intended to replace the current home page located at www.iconn.org (while maintaining the same address at www.iconn.org), including all pages related to reQuest located at www.iconn.org/staff/request.html, some of which reside at www.cslib.org. Our intent is to co-manage the updating of this home page with the vendor. Please describe your ability to provide complete web hosting and *dynamic* content management services (numbers 1 to 8 below) for this home page and its associated subpages and directories, including:

Yes ___ No___ 1. Hosting the "Find a Library" database at www.iconn.org/lib_hp.html and providing a password-protected database administration tool so that non-technical CSL staff can quickly and easily make additions, changes and deletions.

Yes ___ No___   a) The database administration tool is Web-accessible.

Yes ___ No___   b) Database additions, changes and deletions are reflected on the corresponding Web page immediately

Yes ___ No___ 2. Hosting the "Find a Book in Connecticut" database located at www.iconn.org/request/ctlibcat.htm, and providing a password-protected database administration tool that non-technical CSL staff can use to quickly and easily make additions, changes and deletions.

Yes ___ No___   a) The database administration tool is Web-accessible.

Yes ___ No___   b) Database additions, changes and deletions are reflected on the corresponding Web page immediately

Yes ___ No___ 3. Hosting and maintaining the "What Connecticut libraries offer reQuest interlibrary loan service?" database located at www.iconn.org/request/libreq.htm, including the introductory paragraph. This database shows all libraries that are registered to offer the interlibrary loan service, including the most recent libraries added. The vendor will be responsible for ensuring timely updates as libraries join or leave the interlibrary loan service. There is an opportunity to use dynamic content management technology using registration information already contained within the system.

Yes ___ No___ 4. Hosting and maintaining the "Directory of reQuest Symbols for Patrons and Staff" database located at www.iconn.org/request/symbols.html. This database shows all libraries who have holdings in the reQuest main and Serials Catalogs, and the current number of holdings. The vendor will be responsible for ensuring timely updates as holding counts change, and as libraries are added to or removed from the database. There is an opportunity to use dynamic content management technology using registration information already contained within the system.

Yes ___ No___ 5. Hosting and maintaining the "Welcome to reQuest" database (Towns, A – Z) located at www.iconn.org/request/index.html. This database shows all libraries that have unique reQuest URLs. The vendor will be responsible for ensuring timely updates as libraries are added to or removed from the database. There is an opportunity to use dynamic content management technology using registration information already contained within the system.

Yes ___ No___   6.   Hosting and maintaining the "reQuest Participants" database located at www.iconn.org/staff/requestparticipants.html, and providing a password-protected database administration tool that non-technical CSL staff can use to quickly and easily make additions, changes and deletions. This database shows which libraries are registered to use which reQuest services. It is intended that the vendor would maintain all directory information pertaining to services hosted by the vendor, while non-technical CSL staff, using the database administration tool provided by the vendor, would maintain all directory information pertaining to services not provided by the vendor (for example, CatExpress and Telecom). There is an opportunity for the vendor to use dynamic content management technology using registration information already contained within the system.

Yes ___ No___   a)   The database administration tool is Web-accessible.

Yes ___ No___   b)   Database additions, changes and deletions are reflected on the corresponding Web page immediately

Yes ___ No___   7.   Hosting and maintaining all staff-related information that currently resides at www.iconn.org/staff, including but not limited to any pages accessible from www.iconn.org/staff/request.html.

Yes ___ No___   8.   Hosting and administering three or more electronic discussion lists related to the proposed services (e.g., interlibrary loan, cataloging)

Yes ___ No___   9.   The vendor will achieve a smooth transition of responsibility for hosting the www.iconn.org domain from its current owner (Connecticut State Library/Connecticut State University) to the Vendor.

Yes ___ No___   a)   The transition will not result in any interruption of service

                i)   If there is an interruption in service, how long would it be?

Status ____   10.   Vendor will provide a separate text-only version of all Web pages available to patrons, including:

Status ____   a)   View is limited to 40-50 character column

Status ____   b)   View is limited to 25 line display

Status ____   11.   Vendor will provide password-protected access to the Web pages or an ongoing online procedure that enables CSL staff or any Webmaster authorized by CSL to quickly make additions, changes and deletions to any of the Web pages at www.iconn.org

Status ____   a)   Additions, changes and deletions are reflected on the corresponding Web pages immediately.

Yes ___ No___   12.   The vendor will develop new Web-accessible databases if requested by CSL on an ongoing basis throughout the lifetime of the system.

Yes ___ No___

a)   The vendor will host Open Archives-compliant databases, for example, in order to provide a statewide e-prints service for theses and scholarly articles in the public domain (e.g., see http://fred.ccsu.edu:8000)

Status ____   13.   The system checks daily the validity of all external URLs and immediately informs CSL if any URLs are inaccessible.

Status ____   14.   The system provides statistics on use of the iCONN-related Web pages. Please describe what statistics you can provide.

4.1.15. Disaster Recovery/Business Continuity Plan

Yes ___ No___   1.   Your company has a plan for dealing with a sudden interruption of the services proposed in this RFP. Provide a copy of your plan.

Yes ___ No___   2.   The plan was approved by the highest levels of company management.

Yes ___ No___   3.   The plan has been tested.

Yes ___ No___   4.   The plan includes strategies to resume services (as proposed for this RFP), including service restoration times, the use of alternate facilities (and their distance from the primary facility), the use of mirror sites with immediate "fail over" capability, the ability to quickly re-route all traffic from a primary server to a back-up server with no loss in functionality, and reciprocal arrangements with other companies.

                         5.   The plan provides for the replacement of the following services in case of outages, including the use of redundant service providers that do not use the same central switching office, including:

Yes ___ No___   a)   Telecommunications - data and voice
Yes ___ No___   b)   Internet Service Provider
Yes ___ No___   c)   Electricity/Power

Yes ___   6.   The vendor performs regular backups of customer information. Indicate frequency.

Yes ___ No___   7.   The vendor performs regular backups of non-customer information and software applications required to access customer information. Indicate frequency.

Yes ___ No___   8.   The vendor stores the backups offsite

Status ____   9.   The Vendor employs strategies to prevent its computer systems from being penetrated and "hijacked" for the purpose of launching cyber attacks against third-party systems, or for the purpose of obtaining confidential information, or destroying or modifying information. Please describe.

Yes ___ No___   10.   Should it become necessary to rebuild your systems from scratch, the equipment that would have to be replaced is sufficiently generic and easily obtainable from manufacturers so that your systems could be rebuilt quickly.

4.1.16. Migration/Implementation Plan.

Yes ___   **1.**   **Vendor MUST provide a Migration Plan which describes the overall system implementation to include procedures for schedule control, systems installation, data conversion, systems testing, on-site training, and acceptance testing, including the numbers and types of project staff required, both from the vendor and the CSL to carry out the Plan.**

4.1.16.1. Delivery, Installation and Implementation Schedule.

Yes ___   1.   The Migration Plan includes the following:
- all deliverables to be provided in accordance with the CSL-approved schedule
- a detailed breakdown of all tasks/subtasks to be accomplished
- all significant milestones/time periods
- any testing and conversion required
- a staffing plan to accomplish said tasks/subtasks (including vendor and CSL staffing requirements and all plans for back-up staffing)
- a strategy for bringing all of the plan's components together into a successful system implementation
- any assumptions or constraints used in developing the Plan
- a description of your internal review and quality assurance procedures for keeping the project on schedule, on budget, and completing major activities
- a description of your approach to problem identification and resolution

The Migration Plan will be finalized after the contract is awarded.

4.1.16.2. Conversion Plan

Yes ___   **1.**   **The vendor MUST be responsible for all conversion activities required.**

Yes ___   **2.**   **In their proposals, vendors MUST submit a conversion plan that addresses all aspects of the conversion/transition process, including the following requirements:**

Yes ___   **a)**   **MUST include loading of bibliographic records and holdings from current system (Auto-Graphics) to proposed system.**

Yes ___   **b)**   **MUST include indexing the database.**

Yes ___   c)   Your ability to complete the transition with little or no interruption in any of the services
               i)   If there is a need to interrupt services, indicate which services and the duration of the interruption

Yes ___ No___   d)   Migrating ILL transactions.
               i)   If ILL transactions cannot be migrated, how do you propose we make the transition to the new system?

Yes ___ No___   e)   Migrating ILL statistics

Yes ___ No___   f)   Migrating Library Information Database records (re: Subsection 4.3.2.7)

Yes ___ No___   i)   The Vendor will be responsible for manually re-entering all data from the current Library Information Database to the new Library Information Database if Library Information Database records cannot be migrated without having to manually re-enter the data.

Yes ___   g)   Migrating iCONN home page and associated databases to vendor's server (applicable if the Vendor responded affirmatively to any of the requirements in Subsections 4.1.14 #1 through #7)

Yes ___   h)   Installing vendor software (if any) on staff workstations

Yes ___   3.   The vendor will ensure the integrity and currency of the database throughout this transition. Please describe.

4.1.16.3. Staff Training

Yes ___   **1.**   **The vendor MUST provide complete hands-on training on all services proposed. See Appendix B for information about current participants.**

Yes ___   **a)**   **The vendor MUST train CSL staff and, if requested by CSL, a third party (to whom CSL will subcontract all initial training) immediately after the contract is signed, and again before the**

acceptance period starts in order to train on functionality developed after the contract is signed

Yes ___   **i)**   **The Vendor MUST allow the third party to create, distribute and update training materials**

Yes ___   b)   If requested by CSL, training will be provided for an average of three staff members per current participating institution (see information on current participating institutions in Appendix B) by the time services are accessible statewide, or by July 1, 2004, whichever is earlier.

Yes ___   i)   Trainers will have professional training experience as well as knowledge of the products/services. Describe the qualifications of the trainers.

Yes ___   ii)   All training will take place in the Technology Training Lab at the Middletown Library Service Center (MLSC), and other in-state training labs. The MLSC lab is equipped to provide hands-on training (using LAN-connected IBM-compatible workstations) to 12 persons at the same time. (It is anticipated that, by the time training starts, similar training labs with LAN-connected IBM-compatible workstations will be available in Bridgeport, Hartford, New Britain, New Haven, Waterbury and Willimantic.)

                a)   Describe what software must be loaded onto the training lab workstations

            iii) Describe the training classes proposed, including content, optimal sizes and the amount of time (e.g., half-day, full day) required to train each module (e.g., PAC, ILL, Cataloging, etc.).

            iv)   Indicate the number of training classes you are able to conduct concurrently

Status ____   2.   The vendor has the capability to provide training on all statewide library catalog functions by using a customized training database. The customized training database would be a subset of the complete database but would enable training on all functions proposed.

Yes ___   3.   The vendor will train library staff on the procedures they will need to follow to contribute records and holdings to the statewide library catalog from local systems and consortia. For example, see the procedures applicable to Methods 1 and 4 as outlined in "Contributing Your Library's Holdings to reQuest" at www.cslib.org/cln/contribreq.pdf   See Appendix G for an enumeration of the number of separate data sources which contributed records to the statewide library catalog during 2002.

Yes ___

4. The vendor will provide customized course materials as appropriate for all trainees, one extra set of trainee materials for archival purposes, and one copy in electronic format, when training is provided.

Yes ___   a)   CSL will approve the customized training materials before the training programs begin.

Yes ___ No___   b)   CSL owns the customized training materials

Yes ___ No___   5.   The vendor will provide other options for training, such as instructional videos, interactive CD, videotaping training sessions, online tutorials, etc. Please describe.

4.1.16.4. Acceptance Test Plan.

Yes ___   1.   Vendors MUST provide a CSL specific Proposed Acceptance Plan. The State reserves the right to modify the awarded vendor's proposed Acceptance Test Plan. The acceptance period begins after certification by the vendor that the vendor testing of all the service components has been successfully completed according to mutually agreed criteria and are now ready to undergo evaluation and acceptance testing by the CSL.

Include with your test plan a defined methodology for demonstrating that the proposed system will successfully perform all functionalities/tasks that are system requirements enumerated in Attachment 2 of this RFP.

4.1.17. Ongoing Training.

Yes ___   1.   The vendor will, if requested by CSL, train CSL staff and a third party to whom CSL may subcontract ongoing training.

Yes ___   a)   The Vendor will allow the third party training vendor to create, distribute and update training materials

Yes ___   b)   The vendor will, if requested by CSL, train an average of three staff members per participating institution for any institutions joining after July 1, 2004 (some training slots may also be assigned to staff requiring refresher training due to turnover, etc.).

Yes ___   i)   Trainers will have professional training experience as well as knowledge of the products/services. Describe the qualifications of the trainers.

Yes ___   ii)   All training will take place in the Technology Training Lab at the Middletown Library Service Center (MLSC), and

other in-state training labs. The MLSC lab is equipped to provide hands-on training (using LAN-connected IBM-compatible workstations) to 12 persons at the same time. (It is anticipated that, by the time training starts, similar training labs with LAN-connected IBM-compatible workstations will be available in Bridgeport, Hartford, New Britain, New Haven, Waterbury and Willimantic.)

a)   Describe what software must be loaded onto the training lab workstations

iii)   Describe the training classes proposed, including content, optimal sizes and the amount of time (e.g., half-day, full day) required to train each module (e.g., PAC, ILL, Cataloging, etc.).

iv)   Indicate the number of training classes you are able to conduct concurrently

Yes ___ No___   2.   The vendor has the capability to provide training on all statewide library catalog functions by using a customized training database. The customized training database would be a subset of the complete database but would enable training on all functions.

Yes ___   3.   The vendor will provide customized course materials as appropriate for all trainees, one extra set of trainee materials for archival purposes, and one copy in electronic format, when training is provided.

Yes ___   a)   CSL will approve the customized training materials before the training programs begin.

Yes ___ No___   b)   CSL owns the customized training materials

Yes ___ No___   4.   The vendor will provide other options for training, such as instructional videos, interactive CD, videotaping training sessions, online tutorials, etc. Please describe.

Yes ___ No___   5.   All training materials will be updated and made available to CSL by the time the latest release of software is available

4.1.18. Documentation.

4.1.18.1. To Accompany Vendor's RFP Response

Include with your proposal six (6) complete hard copies and one (1) electronic copy of all applicable, standard manuals (Equipment Specification, Description and Operation, Planning and Site Preparation Manuals, Operations Manuals, Software Manuals and User Manuals).

4.1.18.2.To Be Provided On An Ongoing Basis

Status _____   1.   The vendor will make available and maintain over the Web documentation for all services that are part of this RFP on an ongoing basis. The documentation will consist of written synopses and usage instructions that are customized for use by two separate populations—patrons (which includes the general public) and staff.

Status _____   a)   All documentation intended for use by patrons organizes information in accordance with how patrons are likely to use the documentation to achieve their specific goals, e.g., by giving more prominence to frequently asked questions, and to information that is important relative to their needs and interests; is designed to maximize accessibility by being comprehensible and usable; minimizes the amount of memory and cognitive processing demand on the patron; and avoids assuming background knowledge that the patron is not likely to have. Please describe the approach you used to define what the information needs of patrons are and how you applied that knowledge to developing documentation that would meet those needs.

Yes ___ No___   i)   The documentation has been subjected to usability testing with patrons, and the vendor has applied the results of that testing to improving the usability of the patron documentation. Please describe.

Yes ___ No___   ii)   The vendor makes ongoing improvements to the documentation. Please describe.

Status _____   b)   All documentation intended for use by staff organizes information in accordance with how staff are likely to use the documentation to achieve their specific goals, e.g., by giving more prominence to frequently asked questions, and to information that is important relative to their needs and interests; and is designed to maximize accessibility by being comprehensible and usable. Please describe the approach you used to define what the information needs of staff are and how you applied that knowledge to developing documentation that would meet those needs.

Yes ___ No___   i)   The documentation has been subjected to usability testing with staff, and the vendor has applied the results of that testing to improving the usability of the staff documentation. Please describe.

Yes ___ No___   ii)   The vendor makes ongoing improvements to the documentation. Please describe.

Yes ___ No___   c)   The vendor will customize the documentation to CSL's needs, if requested by CSL.

Yes ___ No___

2.   Documentation changes will be made available on the Web to both staff and patrons *concurrent* with software changes.

3.   The vendor will develop and maintain for Web access a FAQ (frequently-asked-questions) file for staff that is keyword-searchable and that is customized at CSL's direction for the following:

Yes ___ No___   a)   Interlibrary loan
Yes ___ No___   b)   Cataloging and holdings maintenance
Yes ___ No___   c)   Public-access catalog
Yes ___ No___   d)   Library information database

Yes ___   **4.   Users MUST be able to print locally any portion of the Web Documentation, including illustrations**.

5.   A one-page instruction ("cheat") sheet for PAC searching and for initiating an ILL request customized at the direction of CSL and accessible via the Web.

Status ____   a)   Separate cheat sheet for patrons
Status ____   b)   Separate cheat sheet for staff

Status ____   6.   A one-page instruction ("cheat") sheet for staff administrative functions will be maintained and accessible via the Web.

4.1.19. Technical Support ("Help Desk") and Customer Communications.

Yes ___   1.   The vendor will provide technical support capable of diagnosing and resolving technical problems in relation to the products/services proposed.

Yes ___   2.   The vendor's system support service skill capabilities are capable of satisfying all the product support service requirements of your proposal. Specify (by location, organization, and job/skill level classifications) the number of experienced service personnel (hardware, software, firmware).

Yes ___ No___   a)   The technical support staff is assigned to user support full-time and does not split its time between support and other responsibilities (e.g., programming, development, testing, staff training, etc.).

Status ____   3.   Your technical staff is fluent in other languages in addition to English. Please specify which languages listed in Appendix K your technical staff is fluent in.

Yes ___ No___   a)   Your technical support staff has access to a real-time language interpretation service (e.g., www.languageline.com) that can provide language translations.

Yes ___

4. The vendor will provide technical support Monday through Friday, 8:00 AM EST to 5:00 PM EST.

Yes ___

a) The vendor will provide an emergency response capability beyond normal technical support hours.

Yes ___ No___

i) The emergency response capability will be available to iCONN and library staff 7 x 24 x 365. Describe how immediate contact can be made.

5. iCONN and library staff can contact technical support using any of the following methods:

Yes ___

a) Telephone (using a toll-free 800 number)

Yes ___

b) Fax

Yes ___

c) E-mail - a specific address (e.g., help@vendor.com) will be assigned for this purpose

6. Indicate the maximum time (in working hours) required to reach a knowledgeable technical support person from the time that initial contact is made.

Yes ___

7. The vendor will acknowledge procedural/informational requests from CSL and participating library staff within one hour during working hours.

Yes ___

8. The vendor will answer any procedural/informational requests from CSL and participating library staff within one working day.

9. Describe your policy on technical support/help desk problem escalation, indicating the breakpoints at which the problem is passed to the next higher level.

Yes ___

10. The vendor will provide a clear, written description of the technical support and help desk services and problem resolution procedures available to library staff, so that all participants have a clear understanding of what assistance is available and how to obtain that assistance.

Yes ___

a) Indicate whether the technical support and help desk services description will be accessible online.

Yes ___

11. The vendor will promptly communicate system alerts and other technical support information via e-mail to CSL staff.

Status ____

12. The vendor has the capability of determining how many library staff members are logged into a staff administration module (e.g., in PAC, ILL or CAT) at any given time.

Status ____

13. The vendor hosts a comprehensive customer service tracking system which CSL can access online at any time to determine the current status of any issue or problem logged into the system. Please describe.

14. Describe any innovative approaches to providing technical support, for example, a continuously operating, real-time communications channel that:

Yes ___ No___   a) any library staff can access at any time during technical support hours from <u>within</u> the vendor-supplied application program, and that

Yes ___ No___   b) enables library staff and technical support to electronically communicate about a problem at the time that the problem is being experienced.

4.1.19.1. Service Outage Notifications

Yes ___   1. The vendor will notify CSL by phone and by e-mail of any unplanned outage affecting one or more vendor-supplied iCONN services that occurs during CSL office hours (Monday – Friday, 8:00 AM EST – 4:30 PM EST). This notification will occur within one hour of when the vendor detects the outage. CSL will provide vendor with emergency phone contacts for outages that occur outside office hours.

Yes ___   a) The vendor is responsible for monitoring and will always know that an outage has occurred immediately after the occurrence. Please indicate how you know that an outage has occurred.

Yes ___   b) The vendor will notify CSL of the approximate time for service to resume as soon as this information is known.

Yes ___ No___   2. Vendor will report problem resolution status to CSL on a scheduled basis.
Yes ___ No___   a) The schedule will be determined by CSL

Yes ___ No___   3. The vendor will log all failures affecting service availability including, but not limited to, time of failure, length of outage, and reason for failure. These logs will be made available to CSL (preferably, online).

Yes ___ No___   4. Any scheduled maintenance and system updating that affects the performance or availability of patron and staff services will be performed between 12:01 AM EST and 6:00 AM EST.

Yes ___   **a) The vendor MUST provide advance notice on the length of time that service will be interrupted.**

Yes ___ No___   5. Any large batch updates to and re-indexing of the union catalog that affects the performance or availability of patron and staff services will be performed between 12:01 AM EST and 6:00 AM EST

Yes ___

        a)   **The vendor MUST provide advance notice on the length of time that service will be interrupted.**

Yes ___ No___

6.   The vendor will maintain a Web-accessible systems status page that indicates whether or not the system is currently operational and that is hosted on a different server than the system whose status it is reporting. For example, the current system status page for the iCONN home page is located at www.libct.org/iconn/status.html and the current system status page for reQuest is located at www2.auto-graphics.com/agus/system_status.html.

Yes ___ No___

        a)   If the system status page reports that the system is not operational, the status page will provide an estimate of how long it will take to become operational

Yes ___ No___

        b)   The design of the system status page can be customized at the direction of CSL

4.1.19.2. Performance Deficiencies

1.   If any major service component affecting services intended for patrons (e.g. Web Hosting and Dynamic Content Management Services, Library Portal, Authentication, and PAC) becomes unavailable to patrons, what is the maximum amount of time within which the Vendor guarantees to determine whether the performance deficiency is or is not the result of the non-performance of the Vendor's Service? See Appendix J.

        a)   If the Vendor determines that the performance deficiency is the result of the non-performance of the Vendor's Service, what is the maximum amount of time within which the Vendor guarantees to correct such performance deficiency from the time this determination is made?

Yes ___ No___

        b)   If the performance deficiency continues beyond this period, CSL is entitled to deduct from each subsequent CSL payment, the Service charge, prorated to a monthly basis, for each month or portion thereof that the performance deficiency continues beyond the cure period unless otherwise agreed to by both parties.

Yes ___ No___

        c)   If the Vendor determines that the performance deficiency is not the result of the non-performance of the Vendor's Services, the Vendor will notify CSL at that time but will continue to be available to assist in problem determination analysis.

2.   If any major service component affecting services intended for staff (e.g. Web Hosting and Dynamic Content Management Services, Library Portal, Authentication, PAC, ILL, Holdings Maintenance, MARC Editor) becomes unavailable to participating libraries, what is the maximum amount of time within which the Vendor guarantees to determine whether

the performance deficiency is or is not the result of the non-performance of the Vendor's Service? See Appendix J.

a) If the Vendor determines that the performance deficiency is the result of the non-performance of the Vendor's Service, what is the maximum amount of time within which the Vendor guarantees to correct such performance deficiency from the time this determination is made?

Yes ___ No___

b) If the performance deficiency continues beyond this period, CSL is entitled to deduct from each subsequent CSL payment, the Service charge, prorated to a monthly basis, for each month or portion thereof that the performance deficiency continues beyond the cure period unless otherwise agreed to by both parties.

Yes ___ No___

c) If the Vendor determines that the performance deficiency is not the result of the non-performance of the Vendor's Services, the Vendor will notify CSL at that time but will continue to be available to assist in problem determination analysis.

3. If there is a performance deficiency in one or more of the Vendor's service components (e.g. Web Hosting and Dynamic Content Management Services, Library Portal, Authentication, PAC, ILL, Holdings Maintenance, MARC Editor) that affects two or more participating libraries, what is the maximum amount of time within which the Vendor guarantees to determine whether the performance deficiency is or is not the result of the non-performance of the Vendor's Service? See Appendix J.

a) If the Vendor determines that the performance deficiency is the result of the non-performance of the Vendor's Service, what is the maximum amount of time within which the Vendor guarantees to correct such performance deficiency from the time that this determination is made?

Yes ___ No___

b) If the performance deficiency continues beyond this period, CSL will be entitled to deduct from each subsequent CSL payment, the Service charge, prorated per library on a monthly basis, for each month or portion thereof that the performance deficiency continues beyond the cure period unless otherwise agreed to by both parties.

Yes ___ No___

c) If the Vendor determines that the performance deficiency is not the result of the non-performance of the Vendor, the Vendor will notify CSL at that time but will continue to be available to assist in problem determination.

4. If there is a performance deficiency in one or more of the Vendor's service components (e.g. Web Hosting and Dynamic Content Management Services, Library Portal, Authentication, PAC, ILL, Holdings Maintenance, MARC Editor) that affects only one participating library, what is the maximum amount of time within which the Vendor guarantees

to determine whether the performance deficiency is or is not the result of the non-performance of the Vendor's Service? See Appendix J.

a) If the Vendor determines that the performance deficiency is the result of the non-performance of the Vendor's Service, what is the maximum amount of time within which the Vendor guarantees to correct such performance deficiency from the time that this determination is made?

Yes ___ No___   b) If the performance deficiency continues beyond the cure period, CSL will be entitled to deduct from each subsequent CSL payment, the Service charge, prorated to a monthly basis, for each month or portion thereof that the performance deficiency continues beyond the cure period unless otherwise agreed to by both parties.

Yes ___ No___   c) If the Vendor determines that the performance deficiency is not the result of the non-performance of the Vendor's Services, the Vendor will notify CSL at that time but will continue to be available to assist in problem determination analysis.

Yes ___ No___   5. CSL reserves the right to terminate its Agreement with the Vendor without any penalty, further obligation or financial liability if the Service performance deficiency continues beyond a maximum amount of time to be specified by CSL during contract negotiations.

Yes ___ No___   6. If a Service performance deficiency is resolved, and the Service performance requirements cannot be maintained for an uninterrupted period of time (time period will be specified by CSL during contract negotiations), then any subsequent Service performance deficiency shall relate back to the original Service performance deficiency as if the cure had not been effective and CSL will have the right to invoke the remedies set forth in its Agreement with the Vendor.

4.1.19.3. Product Upgrade Policies.

1. Describe your company's upgrade policies for all proposed products, and indicate how these upgrades will be coordinated with CSL.
a) Identify the system components that require periodic upgrades.

2. If the service requires proprietary client software, what method will you use to deliver the initial software, software updates and software fixes?

Yes ___ No___   3. Software updates do not result in any interruption in service. Please describe.

Yes ___ No___   4. Software updates will be installed between 12:01 AM EST and 6:00 AM EST.

Yes ___   5.   The vendor will provide CSL a complete and accurate written description of any planned software update at least four weeks before the update is made available to iCONN participants.

Yes ___ No___   a)   The vendor will demonstrate the update to CSL at least four weeks before the update is made available to iCONN participants.

Yes ___ No___   b)   The vendor will provide CSL staff and CSL-designated participating library staff with online access to the updated system functions at least four weeks before the update is made available to iCONN participants.

Yes ___ No___   6.   Software updates will be installed in a test environment and fully tested prior to being installed in a production environment

Yes ___ No___   a)   Software updates will be accepted by CSL before being installed in the production environment

4.1.19.4.New Products and Services

Yes ___   1.   The Vendor will provide CSL with information on new products, product and service enhancements, and pricing

4.1.20.Vendor Qualifications.

Qualifications should contain a general description of the proposing firm and subcontractors (if applicable).

4.1.20.1.Firm Description.

Yes ___   1.   **Vendors MUST provide their financial, sales, and organizational information for the most recent three (3) years and, if applicable, similar information for proposed subcontractors:**

a)   Size and Organization. A brief summary and organization chart of the company should be included. If the company is a subsidiary of another company, provide the name and address of the parent company.

b)   Vendors are requested to describe their project team which will perform software development, conversion, implementation and maintenance/support tasks. Provide resumes for key project team members. Include their qualifications and the tasks that each will be expected to perform.

c)   Describe your company's (or your library and technology division's) long-term strategy and plans to ensure that the system(s) proposed and the company remain viable in the marketplace.

4.1.20.2.Experience/References.

Qualified Vendors may be required to provide a demonstration of installed systems. Such systems should be fully operational and similar in scope, function and complexity to the applications described in this RFP. At a minimum the demonstration should show the vendor's ability to meet product performance characteristics for the individual components described in this RFP.

Vendors should provide at least three (3) references. The systems installed at the reference sites should be comparable to that being proposed. State if one of the sites would be willing to provide a demonstration.

Proposers should provide the following information for each reference:

A. Company Name and Address
B. Date of Installation
C. Configuration
D. User Contact and Phone Number
E. Services Used (Coverage periods and response time requirements)
F. Date Service Initiated
G. Products Serviced
H. Correlation with the Specific Experiences specified in Subsection 4.1.20.3
I. Applicable Web addresses that CSL can visit in order to view the client's system online

Indicate whether the references given are:

J. For products sold, installed and maintained by your company; or
K. For maintenance only on a system which was sold and installed by another vendor

4.1.20.3.Specific Experience

4.1.20.3.1. Library Portal

Status A____
(1-3 only)

1.   The vendor MUST have successfully developed, implemented, hosted and maintained a library portal. Please describe in detail the functionality of this (these) library portal(s).

4.1.20.3.2.Statewide Library Catalog & Associated Services

Status A____
(1-3 only)

1.   The vendor MUST have successfully developed, implemented, hosted and maintained a Web-accessible union catalog, containing at least three million records with associated holdings. The records in each union catalog MUST have been contributed by a diverse array of single library, multi-library and national library systems. Please describe in detail, including the total number of holdings in each of the union catalogs. (Note: the present reQuest catalog contains more than seventeen million holdings)

Status A____
(1-3 only)

2.   The vendor MUST have successfully developed, implemented, hosted and maintained a Web-accessible holdings maintenance system that works in conjunction with a Web-accessible union catalog. Please describe in detail, including for each system the total number of cataloging transactions processed.

Status A____
(1-3 only)

3.   The vendor MUST have successfully developed, implemented, hosted and maintained a Web-accessible interlibrary loan system that works in conjunction with a Web-accessible union catalog. Please describe in detail, including for each system the total number of interlibrary loan requests processed during the past twelve months.

Status A____
(1-3 only)

4.   The vendor MUST have successfully developed, implemented, hosted and maintained union catalogs which meet or exceed all of the above requirements (1 – 3). Please supply a list of clients, including the name and phone number of a responsible party that CSL may contact for reference.

Status A____
(1-3 only)

5.   The vendor's proposed system has successfully loaded and processed MARC bibliographic records and holdings exported from all of the systems enumerated in Subsection 4.3.2.2 #1.

Status A____
(1-3 only)

6.   The vendor's proposed system has successfully loaded and processed records and holdings from all of the physical and electronic media types enumerated in Subsection 4.3.2.2 #10.

7.   Supply a list of clients for whom you have produced union catalogs that meet or exceed all of the above requirements (1 – 6). For each client, supply the name and phone number of a responsible party that CSL may contact for reference.

8.   Describe your company's track record in meeting the reliability/availability standards you enumerated in response to Subsection 4.1.6 #7.

Status A____   9.   The vendor has successfully developed and implemented an ISO
(1-3 only)   standards-compliant ILL system that supports the IPIG profile. Please supply references.

Status A____   10.   The vendor has successfully developed and implemented a Library
(1-3 only)   Information Database where users can get contact information and ILL policy information about a participating library. Please supply references.

Status A____   11.   The vendor has successfully implemented the NISO Circulation
(1-3 only)   Information Protocol to interact with the ISO ILL system. Please describe this interaction. Please supply references.

4.1.20.3.3. Web Hosting and Dynamic Content Management Services

Status A____   1.   The vendor has successfully implemented web hosting and dynamic
(1-3 only)   content management services as described in Subsection 4.1.14. Please supply references.

4.1.20.3.4. Authentication Services

Status A____   1.   The vendor has successfully implemented authentication services as
(1-3 only)   described in Subsection 4.2.3. Please supply references.

4.1.20.4.Product Development

1. What national or international standards committees (such as the World Wide Web Consortium, NISO, IPIG, Z39.50 Implementors Group) are you members of?

2. What % of revenue was committed to research & development during each of your last three fiscal years?

3. How many times and when did you update your software in the past three years?

4. How many software releases were delayed in the last three years? How long were they delayed?

Yes ___   5. There is a user group(s) for your product, either vendor-sponsored or independent.
   a) How many times has the group(s) met in the past three years?
   b) Does the group meet electronically also (e.g., audio conference or Webcast)?

Yes ___ No___   6. Customer requests for product enhancements are considered and prioritized in product development. Describe how customer participation is handled as part of the product development process.

7. How many customer suggestions have you implemented in the past three years?
   a) What percentage is this number of the total number of customer suggestions you have received?

4.1.20.5. Software Quality Assurance Practices

Yes ___ No___   1. The vendor uses various methods to assure software quality, including QA testing.

Yes ___ No___   2. There is a position in your organization that is responsible for ensuring that your company's programming methods show improvements in software error rates.

Yes ___ No___   3. Software bugs are identified, prioritized and corrected. Please describe the process.
   a) How do you define a bug (versus enhancement)?

Yes ___ No___   b) Do you provide your clients with a list of software bugs that you are currently working on? If so, please provide your current list.

4.2. Library Portal

4.2.1. Introduction

At a time when the perceived relevance of libraries is being undermined by Google's emergence as the premier, web-based search tool — now practically the de facto standard of online information searching — and even as librarians themselves have quickly gravitated to Google in the service of their patrons as well as their own information needs, the library portal is an opportunity to create a Connecticut-specific, "post-Google" search environment that extends the reach of the easy-to-use, easy-to-learn "one-stop" information seeking experience (now synonymous with the name "Google") to: iCONN's licensed commercial databases, Connecticut-specific public domain databases hidden behind the "deep web", the statewide library catalog (and interlibrary loan system), other library catalogs, the archives of selected, subject-specific electronic discussion lists, and Google itself. In other words, the library portal is a "superset" of Google, expanding Google's reach into the domain of high-quality library information resources.

The library portal presents an array of information resources and services, arranged in a logical manner, for use by the patron. It is intended to address the issues and opportunities discussed in Appendix C, including at a minimum the ability to search a large number of heterogeneous information resources simultaneously and to integrate the search results. The library portal offers a coherent window into this diverse array of services and resources, enabling "novice" users to find relevant information without first having to specify what information resources should be searched, while at the same time enabling "advanced" users to select the resources that will be searched, and to exert greater control over the search process. The portal presents search results in a logical, well-organized manner, with the most relevant results appearing first, and with every effort made to eliminate duplicate search results.

4.2.2. Functional Requirements

4.2.2.1. Defining, Displaying and Selecting Information Resources

Status A___

1. **The portal MUST be able to simultaneously search and retrieve records from any user-defined selection of information resources, including but not limited to library catalogs, commercial full-text databases and other Web-based resources, derived from a comprehensive list of resources presented by the portal.**

2. The resources which can be simultaneously searched by the portal include:
   a) Library catalogs, including:

Yes ___
       i) reQuest – the statewide library catalog, as described in Subsection 4.3
   - *Note: users conducted more than 900,000 searches in this catalog from July 2001 to June 2002*

Yes ___
       ii) any other Web-accessible library catalog (which may or may not support Z39.50) with an early emphasis on those catalogs in Connecticut whose holdings are not currently in reQuest (i.e., Yale University at http://orbis.library.yale.edu and CTW Consortium at http://129.133.21.120:80)

Status ____
       iii) detection and merging of duplicate records in search results, with holdings consolidation onto the merged records

       iv) the ability to return "circulation status" information (if provided by the holding library's local system) with search results from:

Status ____
         a) Z39.50-accessible library catalogs

Status ____
         b) any other Web-accessible library catalog (which may or may not support Z39.50)

Status ____
       v) the ability to change "checked out" and "checked in" designations to phrases we specify (e.g., substitute "Not on shelf" or "In use" for "checked out" and "Contact the Library" for "checked in")

Status ____
         a) The phrase changes would be performed by the vendor at CSL's direction

Status ____
         b) The vendor will provide the means for non-technical CSL staff to make the phrase changes

Yes ___
   b) all databases listed at www.iconn.org/public_onsite.html

Yes ___
   c) all databases listed at www.iconn.org/colleges_onsite.html
   - *Note: users conducted more than 4.7 million searches in these databases (sum of b and c above) from July 2001 to June 2002*

Yes ___ No___
   d) any databases not represented at either www.iconn.org/public_onsite.html or www.iconn.org/colleges_onsite.html that are available to patrons based on their local library affiliation (i.e., databases licensed by their local library)

Yes ___ | e) all searchable databases listed at www.iconn.org/virtual_ref.html with an early emphasis on Connecticut-specific databases (i.e., Connecticut History Online at www.cthistoryonline.org and GreatKidsCT at www.greatkidsct.org)

Status ____ | f) Google (www.google.com) (subject to any permissions required from Google)

Status ____ | g) Google Images (http://images.google.com) (subject to any permissions required from Google)
      i) Describe how queries from your search engine are translated into queries targeting Google's image search engine

Status ____ | h) Other web-based search engines

Status ____ | i) The "deep web" as described at www.brightplanet.com/deepcontent/tutorials/DeepWeb/deepwebwhitepaper.pdf

Yes ___ | j) State of Connecticut Web portal (www.ct.gov)

Status ____ | k) Archives of specific (e.g., subject-specific) electronic discussion lists

Status ____ | 3. The portal can be customized to display the direct link to each information resource so that the user can bypass the library portal search and go directly to a selected resource's native search engine.

Yes ___ No___ | 4. The portal does not have a limit on the total number of individual resources which can be searched simultaneously

Yes ___ No___ | a) The portal allows CSL to set a limit on the total number of individual resources which can be searched simultaneously

Yes ___ No___ | b) The portal allows CSL to set a limit on the total number of individual resources within a given subject category which can be searched simultaneously

Status ____ | 5. CSL can add and remove resources from the list of resources presented by the portal

Status ____ | a) This customization will be performed by the vendor at CSL's direction, or

Status ____ | b) The vendor will provide the means for non-technical CSL staff to perform the customization.

      c) Please describe how you will meet this requirement.

Status ____ | 6. CSL can determine the arrangement and naming of resources and services on the page from which users will make their selections

Status ____ | a) This customization will be performed by the vendor at CSL's direction, or

Status ____

b) The vendor will provide the means for non-technical CSL staff to perform the customization.

c) Please describe how you will meet this requirement.

Status _____ 7. CSL can profile the default selection of resources and services for at least 20 distinct categories of users. One user category will be "guest" which provides access to all (and only) resources and services for which user authentication is not required

Status _____   a) This profiling will be performed by the vendor at CSL's direction

Status _____   b) The vendor will provide the means for non-technical CSL staff to perform the profiling.

     c) Please describe how you will meet this requirement.

Status _____ 8. The portal checks the validity of all target resource URLs on a daily basis and immediately informs CSL if any target resources are inaccessible to the portal.

4.2.2.2.Customization ("My Portal")

Status _____ 1. The portal enables any Connecticut user to customize the selection and arrangement of resources and services on the page, by selecting those resources they are eligible to use from a master list of information resources and services, and adding any other resources the individual has access to, and for that customization to persist across sessions (individual logins).

Status _____   a) The portal enables any Connecticut user to customize the portal by adding bookmarks of favorite Web sites

Status _____   b) The customized portal is available from any computer connected to the Internet

Status _____ 2. The portal enables any Connecticut library to customize the selection and arrangement of resources and services on the page for all of its patrons, by selecting those resources the library is eligible to use from a master list of information resources and services, and supplementing those resources with any other resources it alone is licensed to use, and for that customization to persist across sessions (individual logins)

Status _____   a) The customized portal is available from any computer connected to the Internet

Status _____ 3. The portal enables any Connecticut teacher to customize the selection and arrangement of resources and services on the page for a given class/course, by selecting those resources the classroom is eligible to use from a master list of information resources and services, and supplementing those resources with any other resources the classroom is

authorized to use, and for that customization to persist across sessions (individual logins)

Status _____

    a)   The customized portal is available from any computer connected to the Internet

4.2.2.3. Searching and Displaying Results

Status _____   1.   The portal search engine provides search functionality useful to both novice and expert users, and the search engine encompasses the functionality specified in Subsection 4.3.2.6. Please elaborate.

Status _____   2.   Resources can be queried using Z39.50 and HTTP in accordance with what the target resource can support.

          a)   If a given target resource supports both Z39.50 and HTTP access methods, please enumerate the specific advantages and disadvantages of each access method when used to query the different types of resources described at Subsection 4.2.2.1 #2 above.

Status _____   b)   If at any time a target resource which supports Z39.50 access fails to respond to a Z39.50 query, the portal will automatically switch to the HTTP method of access

Status _____   c)   The system can be programmed to bypass any individual target resource that fails to respond within a period of time specified by CSL

Status _____   3.   The vendor is responsible for maintaining the continuity of service and making the required adjustments in system configuration as changes occur in target system profiles (e.g., Z39.50 and HTTP access methods), and as target systems are upgraded.

Status _____   a)   Indicate whether non-technical CSL staff would have the option to perform this maintenance using tools provided by the vendor

    4.   For each resource type that can be simultaneously searched, please certify the portal's ability to obtain search results that are identical to the search results that would be obtained by using the native search interface of the target resource.

Status _____   5.   Search results will be organized by major categories (resource types) as defined by CSL, including:

- Library catalogs in Connecticut, including reQuest – the statewide library catalog in its current form
- Other library catalogs (e.g., Library of Congress)
- Magazine Articles (licensed and public domain databases)
- The Web (e.g., Google)

- Other categories (to be defined)
  - a) Please indicate the maximum number of major categories that can be defined

Yes ___ No___

  - b) Different categories can be defined for different users (e.g., patrons and staff), as described at Subsection 4.2.2.1 #7 above

For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Status ____

6. Users can link to a page that gives more information about what the major categories mean. For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Status ____

7. Search results within each resource are ranked by relevance as the default ranking method.
   - a) Describe the methods available to determine relevance

Status ____

   - b) Indicate whether the user can select the relevance method
   - c) Describe other ranking methods available

Status ____

8. Search results can be limited by the user to full-text materials only

Status ____

9. Search results are labeled (e.g., with an icon) to identify those that are full-text

10. Each resource within a major category will provide the following information when reporting search results:

Status ____

   - a) Number of results (if any) per source (number is linked to the actual search results which open in a new browser window)

Status ____

   - b) Heading and brief description of type of resource (defined by CSL)

Status ____

   - c) A link to the resource search engine (opening into a new browser window)

Status ____

   - d) A link to descriptive information about the resource (opening into a new browser window)

For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Status ____

11. All resources within a major category returning no search results will be reported in a separate section, including the information in (10) above. For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Status ____

12. All resources within a major category which do not return search results due to errors are reported in a separate section, including the information in (10) above. For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Yes ___ No___

a)   The system describes the nature of the error. Please describe. (For example, see http://searchlight.cdlib.org/cgi-bin/searchlight)

Status _____   13.   Search results derived from non-bibliographic resource types are displayed within the resource's search engine so that search results can be further refined using the full functionality of the target resource's search engine

Status _____   14.   Users can jump directly from the search results of any major category to the search results of any other major category (e.g., from "Library Catalogs in CT" to "Web"). For example, see http://searchlight.cdlib.org/cgi-bin/searchlight

Status _____   15.   Users can specify a time limit for each search (e.g., from one to five minutes in increments of 30 seconds)

Yes ___ No___   a)   It is possible to interrupt a search in progress in order to view partial results

Yes ___ No___   b)   It is possible to resume the search in progress after interrupting a search (rather than having to re-start the search)

For example, see http://searchlight.cdlib.org/cgi-bin/searchlight (re: 15a above)

Status _____   16.   The system can suggest alternate (variant or corrected) spellings of search terms (as in Google)

Status _____   a)   The system provides for a dictionary and thesaurus that the user can consult for alternate terms

Status _____   b)   The system can suggest alternate terms that conform to LC Subject and Name Authorities

Status _____   17.   Search results can be incorporated into and manipulated by related local application programs, such as Blackboard, WebCT and EndNote.

4.2.2.4. Additional Functionality

1.   The portal provides for CSL-determined real-time information channels that will unobtrusively display continuous updates in the following categories:

Status _____   a)   News
Status _____   b)   Weather
Status _____   c)   Sports
Status _____   d)   Stock prices

Status A___

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2.   The portal MUST meet the requirements specified in Subsection 4.3.2.9 (Interlibrary Loan).

Status A____ 3.   The portal MUST meet the requirements specified in Subsection 4.3.2.10 #1 (Holdings Maintenance).

Status ____ 4.   The vendor can host new digital content (if provided by CSL) on the server, and make this new content accessible through the portal. Please describe your capabilities in this area.

Status ____ 5.   The portal can interact with other systems, such as university portals, content and course management systems and document management systems. Please describe your capabilities in this area.

4.2.3. Authentication Services for Connecticut Users

The authentication system uses IP address for onsite authentication from authorized institutions (public libraries, K-12 schools, academic institutions, and hospital, historical society and museum libraries). The authentication system may not be able to distinguish among schools in a district because many schools are registered as part of a district that uses either 1) a single IP address that is shared by all of their schools or 2) a range of IP addresses that are randomly shared by their schools.

The authentication system uses library barcode numbers to authenticate access from outside an authorized institution. To authenticate, a barcode must be the correct length, contain a correct check digit and include a state assigned agency code. Two barcode formats are valid:

- A 14 character, CodaBar mod 10. Positions 2 through 5 contain the state-assigned agency code.

- A 10 character CodaBar mod 10. Position 1 is "D". Positions 2 through 4 contain a 3 character, state-assigned number. Institutions using 10 character barcodes also use 14 character barcodes and the 3 character number is converted by the authentication system to the corresponding 4 character agency code.

There are approximately 250 different state authorized agency codes (corresponding to the number of public and academic libraries in Connecticut) that need to be recognized. K-12 students use their public library barcodes to access the system from home and are identified at that time as public library patrons.

A number of institutions provide their own authentication system for off-site users and authenticated users access iCONN via a proxy server. Proxy servers are authenticated by IP address as described above.

Some database vendors use the agency code derived from the iCONN barcodes as vendor account codes. Other database vendors use unique, vendor-specific account codes. Thus, an institution may have a different vendor account code for each database vendor. The authentication system translates library IP addresses and agency codes into the appropriate vendor account codes so that users are connected to the correct vendor account and vendors can produce database search statistics by library.

To provide user access to the statewide interlibrary loan system, there is an additional need to identify whether the individual is a registered patron at a library that participates in the statewide interlibrary loan system. Currently, each library participating in the interlibrary loan system has a unique URL specific to patrons (URL appended with "=P") and their patrons must enter the statewide library catalog through that URL in order to be able to initiate interlibrary loan requests that will be routed to their home library.

To provide staff access to the staff administration functions of the statewide library catalog, there is a need to identify whether the individual is a library staff member of a library that is pre-registered to use one or more staff administration functions (e.g., related to interlibrary loan administration or holdings maintenance or Library Information Database). Currently, each library participating in one or more of the statewide library catalog services with a staff administration component has a unique URL specific to staff (URL appended with "=S") and staff must access the staff administration module(s) through that URL in order to select and use the staff administration functions which that library is pre-registered to use.

Status ____

1. The vendor will provide an authentication service that enables any Connecticut resident (patron or library staff) to login to the system once - over the Web from any location - and then be able to access any iCONN resource or service they are authorized to access for that entire session. Currently, the following iCONN resources require authentication:

    - Resources listed at www.iconn.org/public_onsite.html and www.iconn.org/schools_onsite.html
    - Resources listed at www.iconn.org/colleges_onsite.html
    - Ability to initiate an interlibrary loan request through the statewide library catalog
    - Ability to access staff administration functions for PAC, ILL and CAT

- Ability to use online cataloging services

If access is from within an authorized institution whose IP address is registered in the authentication system, no further authentication is required after the IP address is recognized. If access is from outside an authorized institution, the system will present an iCONN login screen and the user will be required to enter their library barcode number (e.g., see remote access login screen for public/school databases at www.iconn.org/public_remote.html.)

Status ____   a)   The authentication system provides an override so that patrons from within an authorized institution can login with a library barcode and override the institution's IP authentication.

Status ____   2.   The vendor will authenticate access to licensed electronic databases offered through iCONN – as listed at www.iconn.org/public_onsite.html and at www.iconn.org/colleges_onsite.html – by IP address, and to host and maintain a centralized IP address lookup table on behalf of all Connecticut libraries authorized to access these databases. Please describe.

Status ____   a)   The system provides CSL with a Web-accessible interface to the IP address look-up table so that table updates (add, modify and delete) can be performed by non-technical CSL staff.

Status ____   i)   Table updates will be performed in real-time.

Status ____   b)   The system translates IP addresses to required vendor account codes and will pass on to the iCONN database vendors the appropriate vendor account codes so that vendors can connect the user to the correct accounts and produce database search statistics by library. Please describe.

Status ____   c)   The vendor will produce, on demand, a copy of the table data in an MS Office-compatible format (Excel or Access).

Status ____   d)   The vendor will be able to use the IP address to determine which set of databases to present to the user as a default.

Status ____   e)   The vendor is responsible for maintaining the authentication service as the mix of licensed databases changes over time.

Status ____   3.   The vendor will authenticate access to licensed electronic databases offered through iCONN – as listed at www.iconn.org/public_onsite.html and at www.iconn.org/colleges_onsite.html – by library barcode number, and to host and maintain a centralized public library barcode number lookup table on behalf of all Connecticut residents authorized to use these databases. Please describe. Note: unless otherwise required in specific vendor license agreements, as indicated in 3 (e) and 3 (f) below, the authentication system uses only the *first five positions* (the agency code) of the barcode to authenticate, and there are approximately 200 different agency codes (corresponding to the number of public libraries in Connecticut) which need to be recognized.

Status _____   a)   The vendor will provide CSL with a Web-accessible interface to the library barcode number look-up table so that table updates (add, modify and delete) can be performed by non-technical CSL staff

Status _____   i)   Table updates will be performed in real-time.

Status _____   b)   The system translates library agency codes to required vendor account codes and will pass on to the iCONN database vendors the appropriate vendor account codes so that vendors can connect the user to the correct accounts and produce database search statistics by library. Please describe.

Status _____   c)   The vendor will produce, on demand, a copy of the table data in an MS Office-compatible format (Excel or Access).

           d)   There are two types of library barcodes in use in Connecticut: a CodaBar Mod 10 14-digit barcode and a CodaBar Mod 10 10-digit barcode (the latter always starts with a "D"). Indicate whether, in addition to authenticating the first five positions of every barcode, the system can:

Status _____   i)   check the barcode length (checking for 14 or 10 positions)

Status _____   ii)   check for a "D" in the first position

Status _____   iii)   perform a check digit calculation

Status _____   iv)   resolve multiple bar code types and multiple bar code formats to a single agency code (e.g., when one library has used more than one bar code type or bar code format)

Status _____   e)   For specific CSL-defined databases, the vendor will maintain a table of library barcode number ranges that would be checked (the entire number) before allowing access to these specific databases.

Status _____   i)   The vendor will provide CSL with a Web-accessible interface to the library barcode number range look-up table so that table updates (add, modify and delete) can be performed by non-technical CSL staff

Status _____   a)   Table updates will be performed in real-time.

Status _____   f)   For specific CSL-defined databases, the vendor will maintain a table of library barcode number ranges that would be checked (the entire number) before <u>dis</u>allowing access to these specific databases.

Status _____   i)   The vendor will provide CSL with a Web-accessible interface to the library barcode number range look-up table so that table updates (add, modify and delete) can be performed by non-technical CSL staff

Status _____   a)   Table updates will be performed in real-time.

Status _____   g)   The vendor will use the library barcode number to determine which set of databases to present to the user as a default.

Status _____   h)   Vendor is responsible for ensuring that the authentication service is maintained as the mix of licensed databases changes over time

Status ____   4.   The vendor has the ability to authenticate onsite and, if applicable, remote access to locally-licensed electronic resources so that these resources may be included within the default library portal database selections established by specific libraries for their patrons. Please elaborate how you would accomplish this.

5.   Your authentication system enables:

Status ____   a)   A public or school library patron (e.g., a K-12 teacher) to be able to access public/school library databases remotely from a college campus, and

Status ____   b)   A college library patron to be able to access academic library databases remotely from a public or school library

c)   Please describe how you would accomplish this.

Note: This is currently done by providing separate remote access links to (a) public/school and (b) academic databases.

Yes ___ No___   6.   Libraries (typically, large public and academic libraries) that have direct links from their home pages to iCONN database vendors (bypassing the current iCONN library portal) must have their onsite (IP) and remote (library barcode) authentication requirements managed directly by the iCONN database vendors. If you are handling the IP and library barcode authentication needs of all other libraries, how would you propose that both sets of IP address tables and agency codes be maintained? For example, would you support a system that enabled CSL to maintain the IP and library agency code tables that you are hosting while libraries with direct links are responsible for working directly with each of the database vendors to maintain their IP and library card number tables?

Yes ___ No___   7.   The system can determine at the initial login whether the user is a patron affiliated with one of approximately 185 libraries that are participating in the statewide interlibrary loan system, and therefore should be presented the option to initiate interlibrary loan requests when accessing records in the statewide library catalog. Because the 185 libraries represent a mix of public, school, academic and special libraries, not all 185 libraries have unique agency codes (as part of the library barcode) registered with iCONN for authentication purposes, and therefore the use of agency codes (derived from the library barcode) for authentication may not be a viable method for determining the user's library affiliation.

This determination can be made by providing each of the 185 libraries a unique library portal URL applicable to *patrons* so that any individual who is a patron of one of the 185 libraries can use the unique URL applicable to their home library to be able to initiate interlibrary loan

requests for items found in the statewide library catalog, and to have those requests automatically routed to their home library for processing.

Yes ___ No___

a) If patrons access the statewide library catalog through the *generic* address for the portal, they will still be able to initiate an interlibrary loan request – if their home library offers this service -- after selecting their home library from a list or menu that contains all libraries participating in the interlibrary loan system.

Yes ___ No___ 8. The system can determine at the initial login whether the user is a library staff member affiliated with one of approximately 185 libraries that are pre-registered to use one of the staff administration functions associated with the statewide library catalog. Because the 185 libraries represent a mix of public, school, academic and special libraries, not all 185 libraries have unique agency codes (as part of the library barcode) registered with iCONN for authentication purposes, and therefore the use of agency codes (derived from the library barcode) for authentication may not be a viable method for determining the user's library affiliation.

This determination can be made by providing each of the 185 libraries a unique library portal URL applicable to *staff* so that any individual who is a library staff member of a library that is pre-registered to use a staff administration function can use the unique URL to access a separate staff login screen, where staff can select the specific staff administration module they wish to use, then enter a username and password to access the staff administration function they selected.

Yes ___ No___ 9. The system allows any user to login as a "guest" which will provide access to all resources and services which do not require authentication, including searching (only) the statewide library catalog and other public domain web resources, as described at Subsection 4.2.2.1 #7.

Yes ___ No___ 10. The system is able to use NCIP or other protocols to automatically authenticate patrons to use iCONN databases and reQuest services by directly querying the patron databases of local library systems. Please describe.

a) Indicate the minimum technical requirements that local systems would have to meet to support this capability.

Yes ___ No___ 11. The system is able to access an individual library's or individual consortium's patron database using the Lightweight Directory Access Protocol (LDAP) (see www.openldap.org) for the purpose of authenticating Connecticut users. Please describe.

a) Indicate the minimum technical requirements that local systems would have to meet to support this capability.

Yes ___ No___   12.   Please describe any improvements you would make to the authentication systems described in this section.

Yes ___ No___   13.   The vendor is able to perform problem determination and problem resolution on behalf of library staff and patrons who are unable to successfully login to the authentication system, or whose onsite authentication does not work, including firewall issues at the user's site. Please describe.

Yes ___ No___   a)   The vendor will provide live help during the periods of time specified in the vendor's response to Subsection 4.1.19.

Yes ___ No___   b)   The vendor will provide CSL with a monthly report of calls handled, indicating the nature of the problem reported and how it was resolved

4.2.4. Statistics

1.   The system will provide the following statistics on usage of the library portal:

Status _____   a)   Information sources users select

Status _____   b)   Sources that do not return results

Status _____   c)   Searches that do not return results

Status _____   d)   Number of searches that return helpful results (based on the user's rating of search results collected by the system)

Status _____   e)   Number of logins by user category (re: Subsections 4.2.2.1 #7 and 4.2.3 #8):

Status _____   f)   Onsite versus remote usage of licensed iCONN databases

Status _____   g)   Number of simultaneous users

Status _____   h)   Peak usage report, including but not limited to the following:

Status _____   i)   Largest number of portal searches performed in one hour during any staff-selected date range over the previous 12 months

Status _____   ii)   Other peak usage reports (please describe)

Status _____   i)   Vendor provides other usage statistics that are useful in evaluating the effectiveness of the library portal. Please describe.

4.3. Statewide Library Catalog ("reQuest") And Associated Services

4.3.1. Overview

The statewide library catalog (otherwise known as "reQuest") is an ongoing program to develop, maintain and provide access to a bibliographic database or union catalog that unifies the separate library catalogs of Connecticut's libraries. reQuest is accessible to the public and to participating institution staff via the Internet/World Wide Web.

The database consists of two separate, unified catalogs: a Main Catalog containing records of all formats, including all government document depository records, and a Serials Catalog containing only serials records. The objective is to include all records and holdings in the state. We are reserving the option to integrate both catalogs into a single, unified catalog with a single set of indexes for all records, while retaining the ability to limit searches to serials records only. A search engine provides the ability to search and retrieve records based on user-supplied criteria (e.g., author, title, subject, keyword, publication date, publication format, language, etc.).

Associated services include: (1) an interlibrary loan module, which is used to create and submit requests, and to track the progress of submitted requests from initiation to fulfillment; (2) a holdings maintenance module used by participating institution staff to add, delete or change holdings in the database; (3) a MARC editor used to edit records in the database to assure quality control; and (4) a Library Information Database that provides both general information about participating institutions as well as information about participating institutions' interlibrary loan policies.

A more detailed description of how the statewide bibliographic database is produced and maintained today is given in Appendix A.

4.3.2. Functional Requirements

4.3.2.1. Loading of Database

Yes ___

1.	**The vendor MUST be able to import (load and index) all records and holdings in the current reQuest database.** There are currently more than 3.7 million records and 17 million associated holdings in the reQuest

Main Catalog. There are currently 70,214 records and 194,919 associated holdings in the reQuest Serials Catalog.

4.3.2.2. Union Catalog Processing/Maintenance

Yes ___   **1.**   **The vendor MUST be able to load and process bibliographic records (in MARC format) with holdings from any library automation system in Connecticut, or any bibliographic utility being used by Connecticut participating institutions. Presently, this includes the following systems:**

a)   Multi-library consortia

Status ___   i)   CARL
Status ___   ii)   Dynix
Status ___   iii)   Endeavor
Status ___   iv)   Geac/CLSI
Status ___   v)   Impact/Online 2 (Auto-Graphics)
Status ___   vi)   Innovative Interfaces
Status ___   vii)   Sirsi

b)   Standalone automated systems:

Status ___   i)   Alexandria
Status ___   ii)   Athena (Sagebrush)
Status ___   iii)   DRA (Sirsi) – including Inlex and MultiLIS
Status ___   iv)   Dynix
Status ___   v)   Endeavor
Status ___   vi)   Follett
Status ___   vii)   Gaylord
Status ___   viii)   Geac/CLSI
Status ___   ix)   Innovative Interfaces
Status ___   x)   Sirsi
Status ___   xi)   Slims (Auto-Graphics)
Status ___   xii)   Surpass
Status ___   xiii)   Verso (Auto-Graphics)
Status ___   xiv)   Winnebago (Sagebrush)

c)   Bibliographic utilities

Status ___   i)   The Library Corporation Integrated Technical Services Workstation (ITS)
Status ___   ii)   Impact/CAT (Auto-Graphics)
Status ___   iii)   Marcive
Status A___   **iv)   OCLC (including CatExpress)**
Status A___   **a)   multi-institution transaction service (daily FTP) including add, change and delete transactions**
Status A___   **b)   separate local database creations**
Status A___   **c)   serials union list tape extractions**

Status A___

          d)   **when receiving any records from OCLC, the vendor is able to translate OCLC-assigned library symbols/codes to the corresponding reQuest-assigned library symbols in order to accurately accomplish holding additions, deletions or changes in reQuest.**

Status _____

2.   List any other systems not enumerated in (1) above whose records and holdings you have successfully loaded and processed, including wholesalers, such as Baker & Taylor, Follett, etc.

Yes ___

3.   **The vendor MUST be able to merge MARC records (matching on ISSN) containing 856 links and that are supplied monthly by iCONN database vendors (e.g., Gale InfoTrac OneFile) with the corresponding records in the reQuest Serials Catalog.**

Yes ___

          a)   **MARC records supplied by database vendors that do not match records in the reQuest Serials Catalog MUST be added to the reQuest Serials Catalog.**

Status A___

4.   **The vendor MUST be able to supply and merge enriched records (matching on ISBN) with existing bibliographic records in the reQuest Main Catalog.**

          a)   The vendor will provide the following enrichment options (e.g., see www.syndetics.com):

Status _____	i)	cover art
Status _____	ii)	summaries
Status _____	iii)	fiction profiles
Status _____	iv)	biography profiles
Status _____	v)	author notes
Status _____	vi)	first chapters
Status _____	vii)	excerpts
Status _____	viii)	table of contents
Status _____	ix)	book reviews
Status _____	x)	other

Status _____

5.   The system is fully OpenURL-compliant as described at www.niso.org/committees/committee_ax.html in order to link to and from other OpenURL-compliant databases. Please describe the level of your support for OpenURL.

Yes ___ No___

6.   If the Vendor has implemented any ASP integrated library system(s) on behalf of any library(ies)in Connecticut, the Vendor will load and process transactions (additions, deletions and changes) from the integrated library system(s) into reQuest on a daily basis.

a) Describe what discount plans you will offer for a coordinated purchase of a number of ASP integrated library systems for libraries in Connecticut

Status ____ 7. The system can act as a "service provider" to "harvest" MARC records, either continuously as transactions or periodically as complete system exports, at the option of CSL, directly from local systems in accordance with *The Open Archives Initiative Protocol for Metadata Harvesting* (www.openarchives.org/OAI/2.0/openarchivesprotocol.htm).

Status ____ a) The system can act as a data provider to expose the metadata in reQuest to "service providers" who wish to harvest records from reQuest. Please describe.

Status ____ b) The system can act as both "service provider" (harvester) and "data provider" (repository) simultaneously. Please describe.

c) Indicate the minimum technical requirements local systems would have to meet to interoperate with reQuest as "service providers" (harvesters) and as "data providers" (repositories).

8. Indicate the specific holding fields and subfields from which the vendor can process local holding data (e.g., 852, 949, etc.)

Status A___ **9. The vendor MUST be able to process transaction files (records/holdings additions, deletions and changes) from local online catalogs. List the vendors from whom transaction files have been successfully processed.**

10. The vendor will be able to load and process records and holdings from the following physical or electronic media types:
Status ___ a) FTP (File Transfer Protocol)
Status ___ b) 4mm DAT
Status ___ c) 8mm exabyte tapes (e.g., Geac/CLSI and Dynix systems)
Status ___ d) QIC format 150 MB cartridge tapes (e.g., from Dynix and Innovative Interfaces systems)
Status ___ e) IBM-compatible 3.5" diskettes
Status ___ f) CD-ROM
Status ___ g) ZIP disc
Status ___ h) E-mail attachment

Status ____ 11. Please list any other physical or electronic media types you can use to load and process records and holdings

12. The vendor MUST be able to process records in the following formats:
Status A___ **a) U. S. MARC, including MARC21**
Status A___ **b) OCLC MARC**

Status A___		c)	**MicroLIF**

13. The vendor can process records in the following formats:

Status ____		a)	Dublin Core
Status ____		b)	EAD (archival)
Status ____		c)	XML
Status ____		d)	Other (please describe)

14. The vendor MUST perform the following production processes on an ongoing basis:

Status A___ **a) Master record selection and record upgrading MUST be based on a system of hierarchical relationships which the vendor will implement and maintain for all types of records contributed to the union catalog. Describe how you will perform this activity inclusive of the following requirements:**

Yes ___ i) The hierarchical relationships will be established in accordance with criteria supplied by CSL. The current record upgrade levels, which generally reflect cataloging source, are listed below in order of descending position in the hierarchy:
- GPO Records (i.e., those contributed from Marcive and from Auto-Graphics)
- OCLC records contributed directly from OCLC
- OCLC records contributed from local systems or regional networks
- LC MARC records
- Other MARC records
- Non-LC MARC records from microcomputer-based systems

Yes ___ ii) The record hierarchy system will be able to accommodate new record levels at any time and at any position in the hierarchy, as required by CSL.

Yes ___ iii) The vendor will maintain the record hierarchy system at the direction of CSL.

Status A___ **b) Matching records at the same level in the hierarchy MUST be selected based on recency.**

Status A___ **c) Any number of new, mutually exclusive upgrade levels MUST be established at any time and at any position in the record upgrade hierarchy at the direction of CSL.**

Status A___ **d) The holdings of institutions that are part of multi-library networks and are submitted as a single, unified database**

MUST be processed globally (as a group), e.g., in order to replace all current holdings with new holdings.

Status A___   e)   **Existing and new non-OCLC records that do not contain all of the following MUST be excluded from the database:**

Field 245, and
Field 260 or 261 or 262 - irrespective of subfield information - and
Field 300 or 301 or 302 or 303 or 304 or 305 or 308 or 856

Status A___   **Note: There MUST be information in the Field in order for the record to be accepted. If the Field is present but there is no information in the field, the record MUST be rejected.**

Status A___   i)   **If so directed by CSL, the vendor MUST disable this exclusion process for specific libraries so that their records and holdings can be added to the catalog.**

Status A___   ii)   **If so directed by CSL, the vendor MUST be willing to change the field and subfield designations**

Status A___   f)   **Deduplication of records MUST be based on the criteria listed in Appendix D.**

Status A___   i)   **The vendor MUST be able to perform a consolidation of duplicate bibliographic records on the full database at periodic intervals. Specify the most frequent time period for full duplicate record consolidation.**

Status ____   ii)   The vendor can perform a duplicate record match as each new record is added to the database.

Status ____   iii)   The duplicate record consolidation algorithm can be changed or customized by CSL.

Status ____   iv)   There is no limitation to the length of each field or data element used in creating a match for duplicate record consolidation.

Status A___   v)   **Deduplication of holdings MUST be based on unique call number.**

Status A___   g)   **019 processing (cross-referencing of 001 and 019 fields) used to accurately match all new, incoming OCLC records with existing OCLC records. The system MUST determine that a match does or doesn't exist by successively comparing each of the OCLC record numbers found in the 019 field (if one exists)**

of any incoming OCLC record with the OCLC record number
of every OCLC-derived record in reQuest.

Status A___   h)   Name and subject authority control, using the most current
(incorporating updates from LC at weekly intervals), complete
LC authority files, for both names and subjects. The current
authority control profile parameters are:

- Replace name headings in reQuest with Library of
Congress authorized (1XX) form when matched to LC
invalid (4XX) form.

- Replace subject headings in reQuest with Library of
Congress authorized (1XX) form when matched to LC
invalid (4XX) form.

- Validate and replace only LC-derived subject headings,
i.e., all 6XX fields, except 69X, with second indicator
value of zero.

Status ____   i.   The vendor provides name authority control in a periodic
batch process against the database.

Status ____   ii.   The vendor can validate subject headings in real time as
records are added to the database.

Status ____   iii.   The vendor can validate name headings in real time as
records are added to the database.

Status ____   iv.   The system produces a report of invalid subject headings
added, when the vendor validates subject headings in real
time as records are added to the database.

Status ____   v.   The system produces a report of invalid name headings
added, when the vendor validates name headings in real
time as records are added to the database.

Status ____   vi.   The vendor provides subject authority control based on the
genre subject headings.
a.   Indicate other subject control authorities.

Status ____   vii.   CSL may add local authority records to the authority
control processing.

Status ____   viii.   CSL can specify MARC fields and/or subfield and/or
indicators to be included or excluded from authority control
processing.

Status ____   ix.   The vendor performs manual review and correction of
terms and headings that do not match authorized headings.

Status A___   i)   **Retention of MeSH (Medical Subject Headings) throughout the LC authority control process**

15.   Updating the database is the process of incorporating new bibliographic records and holding statements into reQuest, and changing or deleting bibliographic records and holdings statements in reQuest, and making these revised bibliographic and holdings records available for searching and display to users.

Status A___   a)   **The vendor MUST be able to update the database using all of the following methods in accordance with individual data provider requirements:**
         i)   **transactions:**
             a)   **either replacing all current holdings with all new holdings (see Appendix E), or**
             b)   **adding new holdings to current holdings**
         ii)   **complete replacement of entire database of local or multi-library systems**

Status A___   b)   **The vendor MUST be able to perform external merging (linking) of records and holdings derived from Geac/CLSI (using the CLSI A/T Key) and Endeavor Voyager systems prior to merging these records into reQuest.**

Status A___   c)   **The vendor MUST change Fields 690 and 691 to 650 and 651, respectively, only when BOTH of the following conditions exist: serials records only (Leader/7 = s) and second indicator is "0".**

16.   **The vendor MUST be able to load all records from the Connecticut Union List of Serials (CULS) into the reQuest Serials Catalog at least annually including:**

Status A___   a)   **loading and processing OCLC serials union list records and holdings from Local Data Records (LDRs) into the Serials Catalog**

Status ___   b)   extracting call number detail (CLNO $a and $b) for specific institutions

Status ___   c)   associating holding date ranges with specific format for newspaper holdings (for the CT Newspaper Project)

Yes ___ No ___   17.   Vendor will load and process CULS updates from OCLC daily, monthly, quarterly, semi-annually or annually, at the option of CSL.

Status ____   18.   The vendor can load and process serials records from local systems into the reQuest Main Catalog.

Status ____

	a)	The vendor is able to process serial bibliographic and item holdings data from local online circulation or serials control systems.
	i)	Indicate from which local systems the vendor has successfully processed detailed serials data.
Status _____	b)	The vendor is able to integrate detailed serials holding data into the bibliographic database and to deduplicate holdings statements by library.
Status _____	c)	The vendor will collapse multiple holdings item statements for a library's individual issues into a single summary statement for each library.
Status _____	19.	Only records with holdings, or records without holdings but with 856 fields are displayed to patrons
Status _____	a)	The system will not purge any records without holdings but with an 856 field except at the direction of CSL staff
Yes ___	20.	The vendor will not make any changes to the database or to the way that data is processed, as described in Subsection 4.3.2.2, without prior consultation with and approval of CSL.
Status ___	21.	The vendor will translate library-assigned holding symbols to CSL-assigned holding symbols in accordance with library symbol assignments determined by CSL for every library contributing holdings.
Yes ___	a)	The vendor will report any unidentified symbols to CSL and will defer processing the records until CSL has identified the symbols.
Status A___	**22.**	**All records in the reQuest Main Catalog MUST be organized and indexed as one catalog.**
Status _____	a)	The vendor is able to index the MARC bibliographic data by all of the fields and subfields specified by CSL.
Status _____	b)	The vendor is able to index the MARC bibliographic data by values in the MARC "fixed fields".
Status _____	c)	The vendor is able to index the MARC bibliographic data by values in the MARC Leader.
Status _____	d)	The vendor performs indexing functions on the entire database.
Status _____	e)	The vendor allows CSL to add, revise or delete fields and subfields used for indexing. Indicate the frequency with which the indexing fields may be changed (e.g. monthly, annually, "on the fly").
Status _____	f)	CSL can choose or specify which MARC fields and subfields, or sets of MARC fields and subfields, are grouped for indexing in Author, Title, Subject, or Keyword fields.
Status A___	**23.**	**All records in the reQuest Serials Catalog MUST be organized and indexed as one catalog.**

Status _____		a)	The vendor is able to index the MARC bibliographic data by all of the fields and subfields specified by CSL.
Status _____		b)	The vendor is able to index the MARC bibliographic data by values in the MARC "fixed fields".
Status _____		c)	The vendor is able to index the MARC bibliographic data by values in the MARC Leader.
Status _____		d)	The vendor performs indexing functions on the entire database.
Status _____		e)	The vendor allows CSL to add, revise or delete fields and subfields used for indexing. Indicate the frequency with which the indexing fields may be changed (e.g. monthly, annually, "on the fly").
Status _____		f)	CSL can specify which MARC fields and subfields, or sets of MARC fields and subfields, are grouped for indexing in Title, Subject, or Keyword fields.

Status _____ 24. The vendor indexes new bibliographic records, updates the index as each record is added to the system and makes the indexed records and associated holdings visible to patrons in "real time."

Status _____ 25. If requested by CSL, the vendor will integrate the main and serials catalogs into a single, unified catalog with a single set of indexes for all records, while retaining the ability to limit searches to serials records only (as described in Subsection 4.3.2.6.1.1 #11a(xi).

Status ___ 26. The vendor will be able to load into reQuest the government document holdings of all (22) selective depository libraries whose holdings are derived from the complete monthly GPO record subscription, using each selective depository library's individual GPO processing profile.

Status _____ 27. The system assigns the most current SuDOC number as the local call number.

28. The vendor is able to perform special processing as exemplified by:

Status _____		a)	Global changing of a library symbol throughout the catalog (e.g., as institution name changes)
Status _____		b)	Hartford History Collection records (contributed to by 5 separate institutions)

  - append to (rather than merge with) the database
  - records are not deduplicated with other HHC records or with non-HHC records
  - no authority control is applied

Status _____ c) All examples described in Appendix F

Status _____ d) The system is able to validate incoming records against the reQuest minimum cataloging standard as specified in the Program

for Cooperative Cataloging BIBCO Core Record Standard (see www.loc.gov/catdir/pcc/bibco.html).

Status _____

        i)   The vendor is able to isolate incoming records that do not meet this standard

Status _____

e)   The vendor is able to isolate incoming records that contain physical or logical errors

Status _____

f)   The vendor is able to retain any incoming data that is invalid or unknown, hold it in a separate file and report this back to the contributing library.

Status _____

g)   CSL may make additions, deletions or changes to the recognized library names and codes at any time.

Status _____

h)   The vendor is able to maintain a profile or configuration for each contributing library that indicates where to obtain the local call number from the incoming MARC records.

Status _____

i)   The vendor is able to build a specific library call number from each transaction received, based on each library's individual hierarchy of call number field preferences.

Status _____

j)   The vendor maintains a record processing profile for each library allowing the creation of special holdings displays (e.g., oversize stamp, input stamp, preceding automatic stamp, and trailing automatic stamp). Please elaborate.

4.3.2.3.Union Catalog Characteristics

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Records	4.0	4.2	4.4	4.6	4.8	5.0
Holdings	20	21	22	23	24	25

(in millions)

Status ___

1.   The system is expandable to support a bibliographic union catalog size of at least five (5) million unique records and (25) million unique holdings, after deduplication of records and holdings (call numbers), based on the above estimated rate of growth.

Status ___

2.   The initial system is able to handle the catalog size/growth indicated for Year 1 in the chart above.

Status ___

3.   There is no maximum length (in characters or bytes) of a bibliographic record, including holdings (if applicable), that can be accepted for processing as a single record.

a)   If there is a limit, please state what it is.

Status ___

4. There is no maximum length (in characters or bytes) of a bibliographic record, including holdings (if applicable), that can be subjected to all production processes, including deduplication and indexing, and included in the database as a single record with all associated holdings attached. If there is no limit, please indicate.
   a) If there is a limit, please state what it is.

Status _____ 5. The union catalog can contain at least 2,000 unique participating institution holding symbols.

Status ___ 6. The system will not limit the number of unique holdings that can be attached or linked to one bibliographic record.

4.3.2.4. Frequency of Updating the Union Catalog

1. Indicate the maximum number of records and associated holdings that you can load, fully index and make accessible for patron searching <u>per day</u>, given that records can be submitted from all of the following sources:
   - FTP
   - Online cataloging - using reQuest and other MARC resource files, including but not limited to the LC MARC database and OCLC WorldCat
   - Local systems - as transactions or as complete databases – in either FTP or on physical media
   - Diskettes from MARC record suppliers, including but not limited to Baker & Taylor and Follett

   Note: Appendix G provides statistics on the number of records that libraries contribute to reQuest on an ongoing basis.

Status A___ 2. The results of holdings maintenance (new, changed or deleted holdings associated with records already in reQuest) MUST be accessible immediately for patron searching.

Status _____ 3. The vendor will retrieve transactions via FTP from OCLC daily (Monday through Friday except holidays), load them into reQuest, index them and make them visible to patrons within one business day of receipt
   a) If not within one business day, explain why and indicate how soon records will be visible to patrons after they are received

   Note: Appendix G provides statistics on the number of records that libraries contribute to reQuest on an ongoing basis through the OCLC daily FTP service.

Status _____   4.   Vendor will accept, load and index any individual library or library network's transactions daily.

Status _____   a)   Vendor will make transactions visible to patrons within two business days of receipt

            i)   If not within two business days, explain why and indicate how soon records will be visible to patrons after they are received

Status _____   5.   Vendor will provide and maintain step-by-step instructions on their Website on how to send MARC records from a local system, including but not limited to FTP (applicable to Netscape, Internet Explorer and local system FTP software)

      6.   Vendor will accept, load and index any individual library or library network's entire database:

Status _____   a)   Once per year

Status _____   b)   At least monthly

Status _____   c)   Vendor will accept, load and index any individual library or library network's entire database and make it visible to patrons within five business days of receipt.

            i)   If not within five business days, explain why and indicate how soon records will be visible to patrons after they are received.

4.3.2.5. Exporting Records from the Union Catalog

Status _____   1.   When requested, the vendor will provide record extractions of all bibliographic records containing a requesting participating institution's holdings for loading into that participating institution's local system. Records will be exported in MARC21 format and will contain the holdings of only that requesting participating institution. Holdings (location and call number) will be located within the appropriate bibliographic record and will be consistently tagged and subfielded.

         a)   Provide information on where and how you format holdings in a record for exporting purposes.

Status _____   b)   The record extractions will be provided on any of the media listed in Subsection 4.3.2.2 #10, as requested by the participating institution.

         c)   Indicate the maximum number of calendar days from the time that you receive a valid request for a record extraction until delivery of the record extraction to the participating institution.

Status _____

2. The system allows individual libraries the option to download their entire collection of records and associated holdings in MARC21 format using HTTP download and FTP transmission methods.

Status _____ 3. The system allows CSL the option to download any individual library's entire collection of records and associated holdings in MARC21 format using HTTP download and FTP transmission methods.

Status _____ 4. The system supports exporting of bibliographic records in XML format (see www.loc.gov/marc/marcxml.html). Please describe how this is accomplished, including the downloading options.

Yes ___ **5. The Vendor MUST provide on high-density media at least once annually an export of all the files comprising the reQuest Catalog at no cost to CSL. The files MUST contain within the bibliographic record (not as a separate file) all associated holdings and any record hierarchy codes used for deduplication/merging. The database MUST be in MARC21 format with holdings consistently tagged and subfielded. The Vendor MUST provide or transfer the files as directed by CSL.**

Yes ___ No___ 6. The Vendor will provide on high-density media at least once annually a copy of all the files comprising the Library Information Database described in Subsection 4.3.2.7. The Vendor agrees to provide or transfer the files as directed by CSL.

7. Please describe other options available to libraries and CSL for exporting records and associated holdings from reQuest.

4.3.2.6.PAC - Public-Access Catalog

4.3.2.6.1.Searching

4.3.2.6.1.1.General

Status _____ 1. CSL staff can set a systemwide default to set the PAC to log off or time out after a set amount of system inactivity
Status _____   a) Individual participating libraries can override the systemwide default for their libraries
Status _____   i) Can set differently for patrons and staff

Status _____ 2. The PAC software allows for keyword searching of one or more terms simultaneously in:
Status _____   a) Author

Status _____   b)   Title

Status _____   c)   Subject

Status _____   d)   Notes

Status _____   e)   Series

Status _____   f)   All indexed fields

Status _____   g)   Indicate any other fields that can be searched individually as well as in combination by keyword.

Status _____   3.   When performing a keyword search, if more than one search term is entered in a field, the system defaults to an implied Boolean AND search.

                 4.   The PAC allows for alphanumeric browse searching on:

Status _____   a)   Author

Status _____   b)   Title

Status _____   c)   Subject

Status _____   d)   Series

Status _____   e)   Classification number

Status _____   5.   The PAC software supports embedded wildcards (e.g., wom?n includes "woman" and "women")

                     a)   What character do you use for a wildcard?

                     b)   How many wildcards can you support in one word?

Status _____   6.   The PAC software supports truncation (e.g., librar* includes "library" and "libraries")

                     a)   What character do you use for truncation?

Status _____   7.   The PAC software allows for phrase searching.

                     a)   Please describe how you do this

                 8.   The PAC software allows for hyperlinks on the following fields:

Status _____   a)   Author

Status _____   b)   Title

Status _____   c)   Subject

Status _____   d)   Series

Status _____   e)   856 fields (directly to Web sites included in the field), including linking from the 856 field of a serials record to the corresponding title in an iCONN periodical database (e.g. Gale InfoTrac OneFile)

Status _____   f)   780 and 785 fields (used to link serial records)

Status _____   9.   The PAC software allows for navigating among retrieved records through the use of links or buttons. Please describe.

Status _____   10.   The PAC software allows repeated use of Browser BACK and FORWARD buttons.

a) Describe any limitations to repeated use of the Browser BACK and FORWARD buttons

11. The PAC software allows users to limit searches to the following record fields:
    a) Non-numerical fields

Status _____   i) Author

Status _____   ii) Title

Status _____   iii) Subject heading

Status _____   iv) Notes

Status _____   v) Date of publication

Status _____   vi) Date range

Status _____   vii) Publisher name

Status _____   viii) Contents note field (505)

Status _____   ix) Summary note field (521)

Status _____   x) Format/media type of material, including any one or a combination of the following:

Status _____   a) Type of Record in U. S. MARC Leader/Position 06

Status _____   b) GMD ("Medium") in Field 245 Subfield h

Status _____   c) SMD ("Extent") in Field 300 Subfield a

Status _____   d) Braille

Status _____   e) Large Print

Status _____   f) URL Present (Field 856)

Status _____   g) Please list all other format/media terms

Status _____   xi) Serials records that are "periodicals" can be selected by combining the following criteria:
            Leader/Position 7 = s
            Fixed Field 008:
                Position 21 (serials type = p)
                Position 18 (frequency) $\neq$ a or g or h or n

Status _____   xii) Serials records that are "newspapers" can be selected using the criteria: Fixed Field 008 Position 21 (serials type) = n

Status _____   xiii) Language - using any of the languages defined in the MARC21 Code List for Languages in relation to Fixed Field 008 Positions 35-37

Status _____   xiv) Target audience notes – using any of the valid indicators and subfields defined for MARC Field 521

Status _____   xv) List any other non-numeric fields supported for searching

    b) Numerical fields

Status _____   i) LCCN

Status _____   ii) ISBN (Main Catalog only)

Status _____	iii) ISSN
Status _____	iv) OCLC Number
Status _____	v) System record number
Status _____	vi) Music publisher number
Status _____	vii) Other publisher number – please describe
Status _____	viii) Dewey classification number - MARC Fields 082 and 092
Status _____	ix) LC classification number - MARC Fields 050 and 090
	x) Separate numeric search key indexes for GPO (government documents) records include:
Status _____	a) SuDOC Number (Field 086)
Status _____	b) Item Number (Field 074)
Status _____	c) Stock Number (Field 037)
Status _____	d) Technical Report Number (Field 088)
Status _____	e) Monthly Catalog (MOCAT) Number (Field 958)
Status _____	xi) List any other numeric fields supported for searching

Status _____   12.   If a search on a numeric field produces multiple hits, the system will display all records matching the search criteria.

Status _____   13.   GPO records containing multiple SuDOC numbers will label the applicable SuDOC numbers as "Previous" and "Current" in the patron display.

Status _____   14.   The PAC software allows the user to modify a search, e.g., if results yield too many hits or not enough hits or to correct a misspelling. Please describe.

Status _____   15.   The PAC software indicates search progress by providing a graphical or text indication on the search screen.

Status _____   16.   The PAC software maintains a history of search queries, and allows the user to recall previous search queries.
    a)   How many search queries can the system retain in the history?
    b)   How long can the history of search queries be retained?
Status _____   c)   Users can clear their search history.

    17.   The PAC software provides for name and subject cross-references in:
Status _____   a)   Keyword searching
Status _____   b)   Alphabetical browse searching
    c)   Please describe how the cross-references operate.

Status _____   18.   The PAC software ignores variations in punctuation and use of upper and lower case letters when searching.

Status _____

19.   The PAC software allows the user to limit the number of search hits that will be returned.

Status ____   20.   The PAC software highlights the term(s) used in a search argument when it returns the results of the search.

21.   The PAC software allows the user to initiate a new search or modify an existing search:
Status ____   a)   From any screen (e.g., select "new search" or "modify search" from a menu bar)
Status ____   b)   Without having to exit the search results screen

Status ____   22.   The PAC software maintains a stoplist, or a list of terms that are ignored when searching.
                     a)   Provide a list of the current stoplist terms
Status ____   b)   The vendor allows CSL to create or edit the stoplist.

23.   CSL can define which MARC fields and subfields are searched when limiting any search by:
Status ____   a)   Author
Status ____   b)   Title
Status ____   c)   Subject
Status ____   d)   Series
Status ____   e)   Notes
Status ____   f)   Keyword
Status ____   g)   CSL can change these definitions at any time, or the vendor will make the changes at CSL's direction

24.   The PAC Software allows CSL staff to set systemwide defaults, including but not limited to:
Status ____   a)   Main Catalog defaults to keyword search
Status ____   b)   Serials Catalog defaults to Title search
Status ____   c)   Serials Catalog defaults to ISSN for number search
Status ____   d)   Main Catalog defaults to ISBN for number search
Status ____   e)   Individual participating library staff can override the systemwide defaults for their libraries

Status ____   25.   When performing any keyword searches, the system will search on the narrowest terms first. For example, if searching the words "slavery" and "history", the system will find results for "slavery" first, then among those results only, will find "history".

4.3.2.6.1.2.Boolean Searching

1.   The PAC software allows for these Boolean operators:

Status _____   a)   AND

Status _____   b)   OR

Status _____   c)   NOT

Status _____   d)   NEAR

Status _____   e)   WITH

Status _____   f)   ADJACENT TO

Status _____   g)   The system distinguishes between Boolean operators and legitimate search words (e.g., the title <u>Less Not More</u>)

Status _____   2.   The Boolean operator AND is the implied default when more than one search term is entered in a field

Status _____   3.   The PAC allows for Boolean searching to use information in any of the following fields in any combination:

Status _____   a)   Author

Status _____   b)   Title

Status _____   c)   Subject

Status _____   d)   Notes

Status _____   e)   Publisher name

Status _____   f)   Date of publication

Status _____   g)   Date range

Status _____   h)   Combined (all indexed fields)

Status _____   i)   Contents note field (505)

Status _____   j)   Summary note field (521)

     k)   Format/media type of material, including any one or a combination of the following:

Status _____   i)   Type of Record in U. S. MARC Leader/Position 06

Status _____   ii)   GMD ("Medium") in Field 245 Subfield h

Status _____   iii)   SMD ("Extent") in Field 300 Subfield a

Status _____   iv)   Braille

Status _____   v)   Large Print

Status _____   vi)   URL Present (Field 856)

Status _____   vii)   Please list all other format/media terms

Status _____   l)   Serials records that are "periodicals" can be selected by combining the following criteria:

         Leader/Position 7 = s

         Fixed Field 008:

             Position 21 (serials type = p)

             Position 18 (frequency) $\neq$ a or g or h or n

Status _____   m)   Serials records that are "newspapers" can be selected using the criteria: Fixed Field 008 Position 21 (serials type) = n

Status _____   n)   Language - using any of the languages defined in the MARC21 Code List for Languages in relation to Fixed Field 008 Positions 35-37

Status _____

	o)	Target audience notes – using any of the valid indicators and subfields defined for MARC Field 521
Status ____	p)	Indicate any other search fields that allow Boolean searching.
Status ____	4.	The PAC allows at least three Boolean operators to be used in the same field when constructing a search. Indicate how nesting is handled.
	a)	Indicate the maximum number of search terms that can be used in a field to construct a Boolean search
Status ____	5.	The PAC allows at least three fields (as defined in 3 above) to be used in combination to construct a Boolean search
	a)	Indicate the maximum number of fields that can be used in combination to construct a Boolean search

4.3.2.6.1.3. Scoping

Status ____	1.	The system allows users to limit a search to one or more staff-defined groups of institutions derived from all institutions whose holdings are in the database.
	a)	This limiting can be defined for:
Status ____		i) alphabetic browse
Status ____		ii) keyword
Status ____		iii) Boolean searches
Status ____	b)	The same participating institution can be in more than one staff-defined group.
Status ____	c)	A staff-defined group may contain only one library.
Status ____	d)	The system allows for at least four staff-defined groups. Please indicate the maximum number of groups that staff can define.
Status ____	2.	Patrons can limit at will searches to the holdings of specific libraries that patrons choose.
	a)	This limiting can be applied to:
Status ____		i) alphabetic browse
Status ____		ii) keyword
Status ____		iii) Boolean searches
	b)	Indicate the maximum number of specific libraries that patrons can include in a search.
Status ____	3.	The user will be able to limit the holding libraries displayed by defining the maximum distance in miles from the zip code entered by the user to the holding libraries (e.g., 5, 10, 15, 20 miles) (see www.abebooks.com)

4.3.2.6.2.Display

Status ____   1.   The PAC displays a single bibliographic record for each title, with one or multiple individual holding statements attached. Indicate if other catalog display options are available.

Status ____   a)   The PAC software displays full bibliographic information.

Status ____   b)   The PAC software allows for labeled displays of full bibliographic records

Status ____   c)   The PAC software allows for full MARC-tagged bibliographic record display

Status ____   d)   The PAC software allows users to toggle between the MARC display format and the labeled display format.

Status ____   2.   Participating institution staff can customize the display of search results in the following ways:

Status ____   a)   Defining what fields and subfields will display

Status ____   b)   Defining the order in which fields display

Status ____   c)   Defining field descriptor labels

Status ____   d)   Setting holdings (participating institution name, location and call number) to display at the beginning or end of a record

e)   Please provide step-by-step instructions on performing the customizations above.

Status ____   3.   Users can specify the number of search results to display on a screen

Status ____   4.   Users can sort search results based on the proximity of holding libraries to a zip code that is entered by the user (e.g., see www.abebooks.com).

Status ____   5.   Participating libraries can arrange the display of all holdings on a record so that the user's home participating institution appears first and all other institutions are displayed in strict alphabetical order by the full name of the town in which the institution resides.

Status ____   a)   Participating libraries can further arrange the display of all holdings on a record so that all other institutions are displayed in groups defined by staff.

Status ____   i)   Participating libraries can define at least nine (9) groups

Status ____   6.   Holdings in the Main Catalog will display the following information for each institution in this order:

Status ____   a)   Town

Status ____   i)   The system presents the user with an A – Z list that allows the user to link directly to towns starting with the chosen letter (e. g., see A – Z list at www.iconn.org/request/index.html)

Status ____   b)   Full institution name

Status ___   i)   This will be linked to that institution's record in the Library Information Database described at Subsection 4.3.2.7

Status ____   c)   Call number assigned by that institution (where available)

Status ____   d)   Status link – a clickable link that will provide real-time circulation status for that holding via a direct link to the corresponding library's circulation system (if it is Web-accessible). Please describe how you will accomplish this.

Yes ___ No___   i)   Indicate whether the link can be made with or without Z39.50 support on the target circulation system.

Yes ___ No___   ii)   Indicate whether the system allows status designations to be translated to phrases we designate, such as changing "checked out" to "Not on shelf" or "In use), or changing "checked in" to "Contact the Library".

Status ____   7.   Holdings in the Serials Catalog will display the following information for each institution in this order:

Status ____   a)   Town

Status ____   i)   The system presents the user with an A – Z list that allows the user to link directly to towns starting with the chosen letter (e. g., see A – Z list at www.iconn.org/request/index.html)

Status ____   b)   Full institution name

Status ____   i)   This must be linked to that institution's record in the Library Information Database described at Subsection 4.3.2.7

Status ____   c)   Detailed holdings information derived from the Local Data Record supplied by OCLC as specified in Subsection 4.3.2.2 #16

Status ____   8.   The system default sorts all retrieved records by publication date (newest titles first) using the fixed fields. Please describe any limitations to this feature.

               9.   The PAC software allows the user to sort search results according to the following parameters:

Status ____   a)   Alphabetically by title

Status ____   b)   Alphabetically by author

Status ____   c)   Publication date (newest titles first)

Status ____   d)   Publication date (newest titles last)

Status ____   e)   Classification number

Status ____   f)   Relevance (e.g., as defined by number of occurrences of search term(s) in bib records)

Status ____   g)   List all other sort options available to users

Status ____   h)   There are no limits to sorting (e.g., the number of search results that can be sorted)

Status ____   i)   Sorting can be specified before search is executed

Status ____   j)   Sorting can be specified after search results are displayed

Status ____   10.   The PAC software displays the closest alphabetical matches for an alphabetical browse search that does not result in a match.

Status ____   11.   The PAC software provides a summary screen of records retrieved and allows the user to select among them.

Status ____   a)   The summary screen can display a brief record with or without field labels.

Status ____   i)   CSL will determine which fields are displayed (if not, indicate which fields are included in the default brief record display)

Status ____   a)   Participating libraries can override the default

Status ____   ii)   CSL will determine whether field labels will display

Status ____   a)   Participating libraries can override the default

Status ____   b)   The PAC software displays an icon (graphic) to represent the format of the material (e.g., book, audio, video, serials, large print, Web, etc.). Please specify what formats you provide distinct icons for.

Status ____   c)   The PAC software displays the number of holdings associated with each record retrieved.

Status ____   d)   The PAC software displays the number of records retrieved for each search term on the result summary screen

Status ____   e)   The PAC software displays how many titles are retrieved by a search.

Status ____   12.   The PAC will display enriched bibliographic records (see www.syndetics.com) including but not limited to the following:

Status ____   a)   Cover art
Status ____   b)   Summaries
Status ____   c)   Fiction profiles
Status ____   d)   Biography profiles
Status ____   e)   Author notes
Status ____   f)   First chapters
Status ____   g)   Excerpts
Status ____   h)   Table Of contents
Status ____   i)   Book reviews
Status ____   j)   Other (please describe)

Status ____   13.   The PAC supports Functional Requirements for Bibliographic Records (FRBR) as described at www.ifla.org/VII/s13/frbr/frbr.pdf

Status ____   a)   The PAC uses FRBR to reduce the number of records returned on a search that patrons perceive to be duplicate records. Please describe.

Status ____   14.   Please describe any other methods (other than deduplication in the union catalog) used to reduce the number of records returned on a search that patrons perceive to be duplicate records

4.3.2.6.3. Printing and Marking Records

1.   PAC software supports the following printing options:
Status ____   a)   Printing of selected text
Status ____   b)   Printing of selected marked records
Status ____   c)   Printing of records in any display format available, including:
Status ____   i)   MARC
Status ____   ii)   Labeled formats
Status ____   d)   Printing of the set of all records for a given search (e.g. all records that contain a specific holding library).

Status ____   2.   Individual records (citations, brief records, full records) can be marked for later e-mailing.

Status ____   3.   Users can mark any number of bibliographic records and save them to a citation program, such as Endnote or Procite.
Status ____   a)   Users have the option of downloading full or brief bibliographic records.

4.3.2.6.4. Z39.50 and Other Links

Status ____   1.   The PAC will be fully accessible for search/retrieval purposes from any external information search/retrieval systems that comply with the ANSI/NISO Z39.50-1995 standard (http://lcweb.loc.gov/z3950/agency/)
Status ____   a)   Software conforms to the Bath Profile, Release 2
            i)   Functional Areas supported:
Status ____   a)   Area A - Basic bibliographic search & retrieval
Status ____   b)   Area B - Holdings search & retrieval
Status ____   c)   Area C - Cross-domain search & retrieval
Status ____   d)   Area D - Authority record search & retrieval
            ii)   Conformance Level Supported:
Status ____   a)   Level 0
Status ____   b)   Level 1
Status ____   c)   Level 2
Status ____   b)   Software conforms to U.S. National Profile (Texas profile)
            i)   Functional Areas supported:
Status ____   a)   Area A - Basic bibliographic search & retrieval
Status ____   b)   Area B - Holdings search & retrieval
            ii)   Conformance Level Supported:

Status ____		a)	Level 0
Status ____		b)	Level 1
Status ____		c)	Level 2
		iii)	Supports U.S. National Profile: XML Holdings Schema
Status ____		a)	U.S. ESN 1
Status ____		b)	U.S. ESN 2
Status ____		c)	U.S. ESN 3
Status ____	c)		Software complies fully with Version 3 of the Z39.50 standard issued in 1995.
		i)	Indicate any specific areas where server software does not comply with Version 3.
Status ____	d)		Software complies with Version 2 of the Z39.50 standard issued in 1992.
Status ____	e)		Software supports the Bib-1 attribute set
Status ____	f)		Software supports the holdings attribute set
Status ____	g)		Software supports the utility attribute set
Status ____	h)		Software supports the Bib-1 diagnostic set
Status ____	i)		Software supports the Scan Service
Status ____	j)		Software supports the following Bib-1 attribute set types. Indicate which attribute values are supported for each attribute type.
Status ____		i)	Use (e.g. author, title, date of publication, subject, ISSN)
Status ____		ii)	Relation (e.g. less than, greater than)
Status ____		iii)	Position (e.g. first in field, first in subfield)
Status ____		iv)	Structure (e.g. phrase, word, word list)
Status ____		v)	Truncation (e.g. right, left, both)
Status ____		vi)	Completeness (e.g. complete field, complete subfield)
	k)		Software supports the following search types:
Status ____		i)	Keyword
Status ____		ii)	Keyword with right truncation
Status ____		iii)	First characters
Status ____		iv)	First words
Status ____		v)	Unanchored normalized name
Status ____		vi)	Unanchored phrase
Status ____		vii)	Exact match
Status ____		viii)	Server software supports the Z39.50 "Explain" service
	l)		Software supports the following record syntaxes, including the character set defined by the syntax:
Status ____		i)	MARC21 record syntax
Status ____		ii)	UNIMARC record syntax
Status ____		iii)	SUTRS record syntax
Status ____		iv)	XML record syntax
Status ____		v)	Generic record syntax (GRS-1)
Status ____		vi)	Dublin Core
Status ____		vii)	Other (please specify)
Status ____			

m)   What other Z39.50-related standards initiatives do you support, e.g., ZING (www.loc.gov/z3950/agency/zing/zing-home.html)?

2.   In addition to searching the reQuest main and serials catalogs, PAC allows CSL to define a master list of other searchable databases that can be searched using PAC search functionality, including:

Status _____

a)   Z39.50-based library catalogs

Status _____

i)   The Z39.50 client is configurable for all record syntaxes, Bib-1 attributes, scan services, holdings, etc. Please describe

Status _____

b)   Web-accessible library catalogs (HTTP access)

Status _____

3.   If a target system fails to respond within a CSL-defined timeframe, the search of that target system is terminated. Please describe.

Status _____

a)   When this occurs, the system will display a message indicating that the search was terminated and provide an explanation (such as, unable to connect; search not supported; etc.). Please list the messages your system provides.

4.   If a given target resource supports both Z39.50 and HTTP access methods, please enumerate the specific advantages and disadvantages of each access method when used to query the different types of target resources, e.g., retrieving circulation status information.

Status _____

5.   PAC allows CSL to establish the order of searchable databases presented to users.

4.3.2.6.5. Real-Time Availability

Circulation status by itself is not a completely reliable method for determining an item's actual immediate physical availability (i.e., is the item on the shelf *now*?). Today, this verification is typically made by placing a phone call to the holding institution. In the distant future, this verification might be made using radio frequency identification (RFID) technology, but this is unlikely to be available within the lifetime of the proposed system.

Status _____

1.   Please describe how the system you are proposing will facilitate the patron's ability to quickly verify in real-time the actual physical availability of any item in the statewide bibliographic database.

4.3.2.7. Library Information Database

A database of Library Information is used to support Interlibrary Loan, including the derivation of constant information for inclusion in Interlibrary Loan requests, and the provision of detailed interlibrary loan policy information, as well as to provide general information about reQuest participants. It is expected that over time this database will incorporate repositories (or links to existing repositories) of statistical and other information about participating institutions in Connecticut.

Patrons also use the Library Information database. Since residents may use their Connecticut public library card in any Connecticut public library, patrons use reQuest to locate and obtain material outside of Interlibrary Loan. When presented with a bibliographic record, patrons can identify libraries that own the material they need and then easily use the Library Information database to obtain basic contact information such as address, library hours, phone number, and basic policy information for the library. With this information, patrons can decide if they wish to initiate an ILL request or pick up the material in a nearby library in person using their Connecticut library card.

Our current Library Information Database is described in Appendix I.

Status A___   **1.**   **The vendor MUST provide the ability for non-technical CSL staff to use a Web browser to create new Library Information Database records for new participating libraries**

Status ____   a)   The vendor will create new Library Information Database records at the direction of CSL

Status A___   **2.**   **The vendor MUST provide the ability for reQuest participating institution staff to use a Web browser to edit and retrieve information about their institutions**. Data elements include, but are not limited to:

Status ____   a)   institution name
Status ____   b)   institution address
Status ____   c)   institution phone
Status ____   d)   institution fax
Status ____   e)   institution e-mail
Status ____   f)   hours open
Status ____   g)   directions or URL with hot link to directions on library home page
Status ____   h)   map showing location within the state
Status ____   i)   contact name/title
Status ____   j)   contact e-mail
Status ____   k)   URL - with hot link to library catalog
Status ____   l)   URL - with hot link to library home page

Status ____   3.   The Library Information Database complies with and provides all the data elements defined by the Interlibrary Loan Protocol Implementors Group (IPIG) "ILL Policy Directory" at www.nlc-bnc.ca/iso/ill/ipd.htm.

Status ____   4.   The Library Information Database can accommodate additional data elements, as deemed necessary by CSL.

    a)   Indicate the maximum number of additional data elements that can be accommodated.

Status A___   5.   **reQuest participating institution staff MUST be able to designate which data elements of the Library Information Database are accessible to reQuest patrons and which portions are accessible to only reQuest participating institution staff.**

Status A___   6.   **The system MUST allow authorized reQuest participating institution staff to create, update and retrieve any information in the Library Information Database pertaining to their institution.**

Status A___   a)   **CSL staff MUST be able to create and edit Library Information Database elements for non-participating institutions**

Status A___   7.   **reQuest users MUST have read-only access to all elements of the Library Information Database which have been designated for public access by reQuest institutions.**

Status A___   8.   **reQuest users MUST be able to use a Web browser to search the Library Information Database by library name, town, and data elements within the interlibrary loan policy (e.g., libraries that lend videos). Please describe search criteria.**

    9.   Describe the architecture of the Library Information Database, including whether or not it uses a third-party product (e.g., Oracle).

Status ____   10.   The Library Information Database supports image data types.

4.3.2.8. Reports

Status ____   1.   The vendor will provide monthly and annual (fiscal year-to-date) reports for CSL staff and participating library staff that include:

Status ____   a)   total number of records and holdings

Status ____   b)   total number of holdings for any contributing institution, including full institution name and symbol

Status ____   c)   total number of holdings by data source, i.e., OCLC, individual local systems, consortia, online cataloging/holdings maintenance in reQuest

Status ____   d)   match rate statistics for new databases merged into the catalog

Status ____

		e)	an accounting of individual data provider's records that could not be processed or matched due to logical or physical errors, or due to the short record purging program
Status _____		f)	a log of when any input is received during a month, indicating what participating institution/system submitted the data, the date received and the system type
Status _____		g)	total number of records of each record type (see Subsection 4.3.2.2 #14a.(i) re: record upgrade levels)
Status _____		h)	total number of records of each format type
Status _____		i)	list of all MARC fields published, the total number of occurrences of each field in the database, and the total number of bytes represented by all occurrences of a given field (provided on request)
Status _____	2.		Participating library staff can independently download reports for their own library
Status _____	3.		CSL staff can download systemwide reports
	4.		The vendor will provide peak usage reports indicating the following:
Status _____		a)	Largest number of PAC searches performed in one hour during any staff-selected date range over the previous 12 months
Status _____		b)	Largest number of ILL requests processed in one hour during any staff-selected date range over the previous 12 months
Status _____		i)	Report can be broken down by patron and by staff transactions
Status _____		c)	Largest number of cataloging transactions performed in one hour during any staff-selected date range over the previous 12 months
Status _____		d)	Largest number of simultaneous users at any given time during any staff-selected date range over the previous 12 months
Status _____		e)	Other (Please specify)
	5.		Reports will be made available in various formats, including:
Status _____		a)	MS Excel
Status _____		b)	MS Access
Status _____		c)	Comma-delimited
Status _____		d)	MS Word
Status _____		e)	Web-based (HTML)
		f)	Other (please specify)
	6.		List other reports that can be provided

4.3.2.9.ILL - Interlibrary Loan

4.3.2.9.1.Overview

reQuest ILL currently serves the resource sharing needs of more than 185 libraries in Connecticut. Participating libraries range from small "one-person" libraries processing a handful of requests per month using only reQuest ILL to large libraries with multiple ILL staff members who process thousands of requests per month using multiple ILL systems. Statewide ILL services are part of a hierarchy (first level: individual library or network/consortium; second level: statewide; third level: out-of-state/national/international) and libraries participating in reQuest ILL filled more than 48,000 requests in fiscal year 2002.

Three types of ILL requests are supported: requests for items contained in reQuest, in which bibliographic information is pre-filled by the system, requests for items found in other library catalogs and iCONN databases and requests for items not contained in reQuest, in which bibliographic information is supplied by the patron.

It is assumed that users will be able to initiate their own ILL requests from any computer that has Internet access, but that initially all such requests will be mediated (subject to review) by the patron's home library staff. It is expected that at some point in the future the system will have the capability to support unmediated ILL.

4.3.2.9.2.Compliance with ANSI/NISO, ISO and Related Standards

1. The proposed interlibrary loan system complies with the current version of the following interlibrary loan and related standards. For each standard, if the proposed system is not fully compliant with the current version of the standard today, indicate what functionality is missing for full compliance and when full compliance will occur:

Status ____   a) ANSI/NISO Z39.50 Extended Services for Item Order
Status ____   b) ISO 10160 – Information and documentation – Open Systems Interconnection – Interlibrary Loan Application Service Definition
Status ____   c) ISO 10161-1 - Information and documentation – Open Systems Interconnection – Interlibrary Loan Application Protocol Specification – Part 1 Protocol Specification
Status ____   d) IPIG Patron Request Submission Message
Status ____   e) ANSI/NISO Z39.83-2002 Circulation Interchange Protocol (NCIP)
Status ____   i) Circ to ILL (C-ILL) Borrowing Profile
Status ____   ii) Circ to ILL (C-ILL) Lending Profile

Status ____   f)   ILL Protocol Implementors Group (IPIG) ILL Policy Directory

Status ____   g)   ISO 17933 – Generic Electronic Document Interchange (GEDI)

4.3.2.9.3. Patron Acquisition of Desired Materials

Status ____   1.   The system presents "borrow", "buy", and "suggest" options to patrons.

Status ____   a)   The system presents a "borrow" option (even if there is no corresponding bibliographic record in reQuest).

Status ____   i)   The system states whether or not the desired materials are presently available from the patron's home library, either physically or electronically.

                               a)   Describe how you would determine availability and include any limitations on making this determination

Status ____   b)   If the item is available at the patron's home library, the patron can request that a hold be placed on the item, and the system will place the hold. Describe how you would accomplish this.

Status ____   (1)   Participating libraries can turn the "request a hold" option off if they do not wish to offer this service.

Status ____   b)   The system presents a "buy" option that links patrons to sites where they can purchase the item, including items that are not found in reQuest.

Status ____   i)   The "buy" option allows the user to select from multiple suppliers (e.g., see http://isbn.nu) including print-on-demand services. Describe how this is accomplished, including how this is done for materials that do not have ISBN's

Status ____   ii)   CSL can determine the list of suppliers.

                               a)   Describe any limitations, e.g., number of suppliers

Status ____   c)   The system offers the patron an opportunity to suggest that the patron's home library purchase the item for its collection.

                               i)   Describe how this is done

Status ____   2.   The system calculates the length of time required to physically deliver the desired materials via Interlibrary Loan, as estimated by the system (re: see Subsection 4.3.2.9.6 #2c). Describe how this is accomplished, including whether or not you are able to take circulation status into account.

Status ____   a)   The length of time is presented to the patron.

Status ____

b) The patron is presented with an ILL form if they choose the "borrow" option.

Status _____

c) The system enables CSL to input the default interlibrary loan delivery time systemwide in lieu of having the system calculate it

Status _____

   i) The system enables each participating library to input the interlibrary loan delivery time which will override the systemwide default

Status _____

3. "Borrow", "buy" and "suggest" options can be activated or deactivated (i.e. turned on or off) by the participating library.

Status _____

4. The capabilities described in (1) above can be extended to other library catalogs accessible via Z39.50 or HTTP access methods.

4.3.2.9.4. Patron-initiated ILL

Status _____

1. The system will be able to determine at the initial login whether the user is a patron affiliated with one of approximately 185 libraries that are participating in the statewide interlibrary loan system, and therefore should be presented the option to initiate interlibrary loan requests when accessing records in the statewide library catalog. Because the 185 libraries represent a mix of public, school, academic and special libraries, not all 185 libraries have unique agency codes registered with iCONN for authentication purposes, and therefore the use of agency codes for authentication may not be a viable method for determining the user's library affiliation.

   a) Describe how you will accomplish this.

   Note: The current system makes this determination by providing each of the libraries participating in the statewide interlibrary loan system a unique reQuest URL applicable to *patrons* so that any individual who is a patron of one of the participating libraries can use the unique URL applicable to their home library to be able to initiate interlibrary loan requests for items found in the statewide library catalog, and to have those requests automatically routed to their home library for processing.

Status _____

2. Connecticut patrons whose home library participates in the statewide interlibrary loan system, but who have logged in as guest will still be able to initiate an ILL request (e.g., by picking their home library from a list or menu). Please describe how you will accomplish this.

Status _____

   a) Connecticut patrons whose home library does not participate in the statewide interlibrary loan system will not be presented with the option to initiate an ILL request.

Status _____

Status _____   i)   Patrons will get a CSL-specified message instructing them to contact their local library for ILL services.

       ii)   Please describe other methods the system uses to instruct patrons whose home library does not participate in ILL through the system.

Status _____   3.   The patron is able to issue multiple interlibrary loan requests without having to re-authenticate each request until a specified time period is exceeded.

Status _____   a)   CSL staff will specify the default time period when the system will automatically sign out.

Status _____   b)   Participating libraries can specify a time period for their library, which overrides the default time period.

Status _____   c)   The system requires patrons to sign out once all interlibrary loan requests are placed.

Status A___   **4.**   **Patrons MUST be able to track the status of their own interlibrary loan requests. Please list all system-generated messages that patrons see as they track their requests.**

Status _____   a)   Status messages can be customized.

Status _____   i)   This customization will be performed by the vendor at CSL's direction.

Status _____   ii)   The vendor will provide the means for non-technical CSL staff to perform the customization.

Status _____   b)   Request tracking is password protected for confidentiality.

Status A___   **5.**   **Patrons whose home library participates in interlibrary loan through reQuest MUST be able to initiate interlibrary loan requests while viewing a bibliographic record retrieved from the PAC (i.e., without the necessity of exiting the PAC program).**

       a)   Describe how the option to initiate an interlibrary loan request is presented to the patron

Status _____   b)   The interlibrary loan option is not presented for materials available only in electronic form. Describe how this is accomplished.

Status _____   6.   Patrons can follow a link from an iCONN database item record (e.g., InfoTrac OneFile) to the corresponding record in the reQuest Serials Catalog (Connecticut Union List of Serials (CULS)).

Status _____   a)   System can identify patron's home library and present an ILL form if the patron's home library participates in ILL through the system.

Status _____   i)   System can independently determine the patron's home library provided that the iCONN database vendor can pass on the home library identification as derived from the onsite and remote authentication information supplied by

the patron when logging onto the iCONN database (as
described in Subsection 4.2.3)
    a)   Describe how you will accomplish this

Status ____   ii)   Patrons can choose their home library from a list or menu

Status ____   b)   An ILL form will not be presented to patrons whose home library does not participate in ILL through the system.

Status ____   c)   System can present an ILL form pre-filled with all appropriate bibliographic information derived from an iCONN database.

Status ____   i)   This is accomplished using the OpenURL supplied by an iCONN database item record. Please describe. (For more information on OpenURL, see http://library.caltech.edu/openurl/Public_Comments.htm)

Status ____   7.   Patrons can follow a link from an iCONN database item record (e.g., What Do I Read Next?) to the corresponding record in the reQuest Main Catalog.

Status ____   a)   System can identify patron's home library and present an ILL form if patron's home library participates in ILL through the system.

Status ____   i)   System can independently determine the patron's home library provided that the iCONN database vendor can pass on the home library identification as derived from the onsite and remote authentication information supplied by the patron when logging onto the iCONN database (as described in Subsection 4.2.3)
    a)   Describe how you will accomplish this

Status ____   ii)   Patrons can choose their home library from a list or menu

Status ____   b)   An ILL form will not be presented to patrons whose home library does not participate in ILL through the system.

Status ____   c)   System can present an ILL form pre-filled with all appropriate bibliographic information derived from an iCONN database.

Status ____   i)   This is accomplished using the OpenURL supplied by an iCONN database item record. Please describe. (For more information on OpenURL, see http://library.caltech.edu/openurl/Public_Comments.htm)

Status ____   8.   The system default requires that all patron-initiated interlibrary loan requests be mediated by the patron's home library before being transmitted to the lending library.

         9.   Patrons can specify their preferred method of being notified by library staff or by the system, including but not limited to:

Status ____   a)   E-mail

Status ____   b)   Phone

Status ____   c)   Mail

Status ____   d)   Fax

Status _____   10.   The patron initiated interlibrary loan request procedure allows patrons to
                       get a copy of their interlibrary loan request.
Status _____   a)   Patrons can print a copy of their request.
Status _____   b)   Patrons can send a copy of their request to an e-mail account.

                 11.   Patrons have the option to cancel a request:
Status _____   a)   prior to sending it
Status _____   b)   after sending it (up until the time the item has been shipped by the
                               lending library)

Status _____   12.   The system will detect and reject duplicate requests from the same patron.
                       Describe how this is accomplished, including how duplicate requests are
                       identified, and how and when the patron is notified that a duplicate request
                       is rejected.

Status _____   13.   The system pre-fills the online interlibrary loan request form with the
                       bibliographic information needed to identify the item from a variety of
                       sources.
Status A____   a)   **The system MUST pre-fill an online interlibrary loan request
                               form with bibliographic information resulting from a search of
                               the reQuest Main or reQuest Serials catalog.**
Status _____   b)   The system pre-fills an online interlibrary loan request form with
                               bibliographic information resulting from a search of Z39.50 library
                               catalogs.
Status _____   c)   The system pre-fills an online interlibrary loan request form with
                               bibliographic information resulting from a search of external
                               library catalogs that do not support Z39.50.
                               i)   This is accomplished using the OpenURL standard. Please
                                       describe. (For more information on OpenURL, see
                                       http://library.caltech.edu/openurl/Public_Comments.htm)

Status _____   14.   The system does not offer an online interlibrary loan request form to the
                       patron if the bibliographic record has an 856-link and there are no holding
                       libraries.

Status _____   15.   In addition to bibliographic information, the ILL form will include the
                       source of the bibliographic information (e.g., reQuest, specific Z39.50
                       library catalogs, iCONN database).

Status _____   16.   If the item being requested is not found in reQuest, the system will present
                       a link to a blank ILL form which the patron can use to request the desired
                       item.
Status _____   a)   If the required information is not supplied, the request is blocked.
Status _____

Status ____   b)   CSL can determine the default blank ILL form fields that are required.

                            i)   Participating institutions can override the default blank ILL form fields that are required

Status ____   17.   If the item being requested is owned by the patron's home library, this information should be disclosed to the patron at the time of request initiation and noted on the interlibrary loan request for staff at the patron's home library.

Status ____   18.   The interlibrary loan request form provides for the request of journal articles, book chapters, tables of contents, and specific pages of a publication, in addition to monographs.

Status ____   a)   A "Need By" date is provided in the interlibrary loan request form.

Yes ___   b)   Before allowing requests for photocopies, the following copyright compliance notice will be displayed to patrons:

WARNING CONCERNING COPYRIGHT RESTRICTIONS (*)
The copyright law of the Unites States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material. Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or other reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement. This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright.

Status ____   i)   The patron is instructed to acknowledge the notice by clicking a button (such as "I agree") before the request is accepted.

Status ____   c)   A free text field is provided for patrons to include other information or special instructions.

Status ____   19.   Specific fields, such as patron name, patron barcode or patron id number, patron phone, in the interlibrary loan request form can be designated as mandatory fields. The patron must supply all mandatory information before the interlibrary loan request form can be transmitted to the patron's home library for approval.

Status ____   a)   CSL can define a systemwide default

Status ____   b)   Individual participating libraries can override the systemwide default and specify mandatory fields for their own patrons

Status _____   20.   The interlibrary loan request form asks patrons what their willingness is to pay for the requested item. Describe this feature.

Status _____   a)   Individual participating libraries can activate or deactivate this feature.

Status _____   21.   Patrons can initiate renewal requests for their ILL material. Please describe how this is accomplished.

Status _____   a)   Patron's renewal request is mediated by the patron's home library before being transmitted to the lending library.

Status _____   b)   reQuest participating institution staff can activate/deactivate this feature.

Status _____   c)   Patron can view the status of the renewal request.

Status _____   22.   System enables libraries to offer multiple shipping options. (The delivery service may be from a third party such as UPS or FedEx and the system should interoperate with the delivery service's ordering mechanism, at a minimum by providing a link to the delivery service's login page.)

Status _____   a)   System supports shipping from supplying library to requesting library (traditional ILL: both delivery to borrowing library and return to lending library through Connecticar, the state's physical library delivery service).

Status _____   b)   System supports shipping from supplying library to patron, patron returns material to a local library (direct delivery to patron through commercial delivery service, return to lending library through Connecticar).

Status _____   c)   System supports shipping from supplying library to patron, patron returns material to supplying library (both delivery to patron and return from patron to lending library are through a commercial delivery service).

Status _____   d)   Individual participating libraries can activate or deactivate specific shipping options

4.3.2.9.5. ILL Staff Management

Status _____   1.   The ILL function is designed for efficient operation as a statewide service currently supporting more than 185 institutions. Its design should minimize to the greatest extent possible the need for staff to interact with the system in order to administer interlibrary loan activity for each participating institution, and on a statewide basis.

Describe how the interlibrary loan module works and provide a step-by-step description that shows the path of an interlibrary loan request through

the system from initiation of request through return of item, <u>highlighting all points where staff intervention is required</u>. Please list all ILL statuses that staff can use to update an ILL request and for each list the resulting status of the ILL request.

Please provide a URL that we can visit to directly evaluate how the interlibrary loan module works.

Status A___   **2.**   **The system MUST assign each ILL transaction a unique transaction identifier.**

Status A___   **3.**   **Both as lenders and as borrowers, reQuest participating institution staff MUST be able to continuously track, and update the status of interlibrary loan requests from the time of initiation to the time of the completion of the transaction.**

4.   reQuest participating institution staff untrained in ILL can use the system to accomplish basic ILL functions without assistance, including but not limited to the following:

Status ____   a)   submit borrowing requests to potential lenders
Status ____   b)   print pick lists/slips
Status ____   c)   update lending requests to filled or unfilled
Status ____   d)   update borrowing requests to received
Status ____   e)   complete filled transactions

Please supply a URL that we can visit to evaluate how these functions are performed.

5.   Indicate which of the following methods are available for transmitting interlibrary loan requests between reQuest participating institutions:

Status ____   a)   Real-time transmission
Status ____   b)   Batched overnight for delivery the following day
Status ____   c)   E-mail
Status ____   d)   Other - please describe

6.   Describe what actions the system takes, or what options the system offers, when participating libraries do not update their status information on a timely basis, including but not limited to the following situations:

Status ____   a)   A borrowing library receives material from a lending library, but the lending library has neglected to update the request to shipped status and the request has been forwarded to another potential lender

Status ____   b)   The lending library wants to propose a change to the borrowing library about the request and the borrowing library does not respond online

Status ____

Status ____

       c)   Material has been returned to the lending library, but the borrowing library has not updated the request to returned status

       d)   The lending library does not respond to a renewal request

Status ____

7.   The system allows staff to undo the last update action taken (even within a predetermined time period) to correct an error. For example, an item is mistakenly marked shipped and needs to be undone, or the wrong request was updated. Please describe how this is done.

8.   reQuest participating institution staff can purge completed transactions by a variety of criteria. Criteria include, but are not limited to:

Status ____   a)   Time period

Status ____   b)   Status

Status ____   c)   Other (please specify)

Status A___

9.   The system MUST be able to automatically purge completed transactions based on a CSL-specified time period. Please describe how this is accomplished.

Status A___

10.   The system MUST allow two reQuest participating institutions (e.g., the lender and borrower of the same item) to simultaneously view the same interlibrary loan request record in the system.

Status ____

11.   System provides the ability for a library to notify another library of any fees per request.

Status ____   a)   The borrowing library can set a limit of what it wishes to pay for a filled request.

Status ____   b)   The lending library can input the fee they charge a borrowing library for a filled request.

Status ____

12.   The system does not limit the number of ILL transactions that can be viewed on one scrollable Web page. Please describe this capability.

Status ____   a)   reQuest participating institution staff can set the number of ILL transactions to be displayed on one scrollable Web page (e.g., see Google's advanced search capability).

Status ____

13.   Participating libraries can batch update ILL transactions. Please describe this capability.

4.3.2.9.5.1.ILL Staff Management - Borrowing

Status A___

1. **All patron-initiated interlibrary loan requests MUST be available for review by the patron's home library.** This applies to both mediated ILL and, if available, unmediated ILL.

Status _____   a)   Library staff can flag borrowing requests for priority (rush) service

Status _____   b)   The system will automatically flag requests for priority (rush) service if their "Need By" date is within a library staff-specified number of days from the request submission date

Status _____   2.   The system has the ability to process patron-initiated unmediated borrowing requests. Please describe.

Status _____   3.   System flags patron-initiated borrowing requests if they have not been viewed by the borrowing (patron's) library within 48 hours of request initiation. Please describe.

Status _____   4.   The system prefills the interlibrary loan request form with default information derived from the Library Information Database, including but not limited to library address, e-mail address, fax number, etc.

Status _____   a)   Participating libraries can specify the default maximum amount they are willing to pay for a filled request

Status _____   5.   Each reQuest participating library has the ability to specify the methods available to contact patrons, including but not limited to phone, e-mail, etc.

                   a)   The system has the ability to automatically send an e-mail message to those patrons who have requested e-mail notification when:

Status _____   i)   The borrowing library updates the request to received

Status _____   ii)   The request is unfilled

                   b)   The system has the ability to allow staff to easily generate an e-mail message to those patrons who have requested e-mail notification when:

Status _____   i)   The request is delayed

Status _____   ii)   Additional information or clarification is needed

Status _____   c)   The system flags those requests that have been updated to received but whose patrons have not requested e-mail notification.

Status _____   d)   The borrowing library can specify the default text contained in the body of the e-mail messages sent to the patron.

Status _____   e)   The borrowing library has the ability to deactivate the automatic e-mail feature.

Status _____   6.   Each reQuest participating library has the option of specifying what delivery options are available to the patron.

Status _____   a)   Delivery options can be included or excluded by each participating institution.

Status _____

b)   Excluded options will not appear in the patron-initiated interlibrary loan request form.

Status _____   7.   reQuest participating institution staff can easily generate ILL requests for multiple copies, e.g., for book clubs. Please describe.

Status _____   a)   Requests for multiple copies are not sent to the same potential lenders

Status _____   8.   The system allows borrowing library staff to easily identify the lending library on summary screens

Status _____   9.   reQuest participating institution staff can generate an ILL request in ALA format to send to lending institutions that are not participating in the reQuest ILL system or whose systems are not ISO ILL compliant.

Status _____   a)   reQuest participating institution staff can input a lending library's name, address, and fax number onto the request.

Status _____   b)   ALA ILL form includes the "ship to" address.

Status _____   c)   reQuest participating institution staff can send the request form directly from the system to an e-mail address.

Status _____   d)   reQuest participating institution staff can generate an ILL request suitable for printing so that the request can be mailed or faxed.

Status A___   **10.**   **reQuest participating institution staff MUST be able to retrieve their ILL borrowing transactions by specific criteria.** The criteria used to retrieve ILL transactions includes but are not limited to:

Status A___   **a)**   **Patron name**

Status _____   b)   Lending institution name

Status _____   c)   All transaction statuses (please specify statuses)

Status _____   d)   System-assigned transaction identifier

Status A___   **e)**   **Title of material requested**

Status _____   f)   Author of material requested

Status _____   g)   Other criteria (please specify)

Status _____   11.   Participating library staff can enter a free-text note that will display when patrons track their own requests.

Status _____   12.   Participating library staff can temporarily suspend a request prior to being approved to prevent the request from being approved until the suspension request has been removed

Status _____   13.   If the item being requested is owned by the patron's home library, this information is disclosed to the library staff at the time of request initiation.

4.3.2.9.5.2. ILL Staff Management
Lending

Status ____   1.   The system provides the lending institution with the ability to batch download pending requests.

Status ____   a)   Lending library can sort requests by local call number

Status ____   i)   If the lending library has multiple locations (e.g. collections), call numbers will be sorted for each location

Status ____   ii)   If there is no local call number, requests will be sorted alphabetically by title (e.g., for journal copy requests)

Status ____   b)   Lending library can print a pick list, which includes brief bibliographic information, local call number and location, if available.

Status ____   c)   Lending library can choose to print full ILL requests for only new pending requests.

Status ____   i)   Each full ILL request will print on a separate 8-1/2 x 11" sheet of paper

Status ____   d)   The system will alert lending library staff of rush requests. Describe how this is accomplished.

Status ____   2.   System complies with the IFLA "Recommendations for Interlibrary Loan Response Codes" at www.ifla.org/VI/2/p3/rcodes.htm Please describe.

Status ____   3.   System alerts lending library staff of lending requests on their last referral day.

Status ____   4.   The system includes the unique system-assigned transaction identifier on printed ILL forms.

Status ____   a)   The system can represent the unique system-assigned transaction identifier as a barcode

Status ____   5.   For items found in the reQuest Main Catalog, the ILL lending request contains the lending library's local call number.

Status ____   6.   For items found in the reQuest Serials Catalog, the ILL lending request contains the lending library's detailed serials holdings statement.

Status A___   **7.**   **reQuest participating institution staff MUST be able to retrieve ILL lending transactions by specific criteria.** The criteria used to retrieve ILL lending transactions includes but are not limited to:

Status ____   a)   Patron name

Status ____   b)   Borrowing Institution name

Status ____   c)   All transaction statuses

Status ____   d)   System-assigned transaction identifier

Status ____   e)   Local call number

Status A___	**f)**	**Title of material requested**
Status ____	g)	Author of material requested
Status ____	h)	Other criteria (please specify)

Status ____   8.   reQuest participating institution staff can print custom-designed slips for the statewide delivery system (see Appendix H).

Status ____   a)   reQuest participating institution staff can print shipping labels. Please describe.

Status ____   9.   reQuest participating institution staff can choose to print bookstraps that affix to an item and lists transaction information.

Status ____   10.   System supports sending scanned images to fill an ILL copy request.

Status ____   a)   System has been tested for compatibility with these products:

Status ____   i)   Ariel

Status ____   ii)   Prospero

Status ____   iii)   Docmorph

Status ____   iv)   Other (please specify)

Status ____   b)   System supports the transfer of electronic documents in compliance with ISO 17933, Generic Electronic Document Interchange (GEDI).

Status ____   c)   Identify other document formats and transfer protocols the system supports. Please describe.

4.3.2.9.6. ILL System Features Configurable by Staff

Status A___   1.   **reQuest participating institution staff MUST be able to easily change the participation status of their institution to account for times when the institution is closed due to holidays, vacations, and extended periods, such as school summer vacations.** Describe how this is done.

Status ____   a)   Libraries not participating during a holiday or vacation will not be included on a system-generated lending list during the holiday or vacation period.

   2.   System supports automated ILL lender selection by:

Status ____   a)   Machine-readable ILL policy. (For example: automatic bypass of a potential lender if a video is requested and the lending library will not lend videos per their ILL policy.). Please indicate which ILL policy elements can be used to determine lender selection.

Status ____   b)   Circulation status of the item at the lending library. (For example: automatic bypass of a potential lender if the item is checked out at the lending library.)

Status ____

i) Since circulation status may change while requests are being forwarded to potential lenders, the system re-checks circulation status each time the request moves to another potential lender. Describe how this is accomplished.

Status _____ c) Past ILL performance based on system statistics. (System can give preference to potential lenders that have had high fill rates and fast delivery times with the borrowing library.)

Status _____ d) Borrowing to lending ratio. (High-volume borrowing libraries get a lending request before low-volume borrowing libraries.

Status _____ e) Other (please describe)

Status A___ **3.** **Vendor MUST be able to implement a CSL-defined statewide default lender priority list**

Status A___ **a)** **Participating institutions MUST be able to create a local default lender priority list that overrides the statewide default lender priority list.**

Status _____ b) Each lender priority list can include any participating institution from the list of reQuest participants up to a CSL-defined maximum number of institutions (e.g., the current maximum is 15 lenders per request).

Status _____ i) The maximum number of institutions can be equal to the total number of institutions participating in reQuest ILL.

Status _____ c) If no participating institution on a lender priority list fills the request, the request is returned to the patron's home library.

Status _____ i) The lender list is automatically repopulated with libraries that were not included on the original unfilled ILL request so that the request can be resubmitted to a new set of potential lenders

ii) Indicate what other options are available.

Status _____ 4. The system automatically bypasses a potential lender if the detailed serials holding statement in the reQuest Serials Catalog shows that the library does not own the volume/issue/date of the requested journal.

Status _____ 5. reQuest participating institution staff can configure the system to automatically block (not accept) interlibrary loan requests from any participating institutions that it specifies (e.g., the request would skip that library and go to other potential lenders on the list).

Status _____ 6. The system provides the option to immediately alert users when attempting to request an item that is not lendable by any holding libraries (based on the lending institutions' interlibrary loan policies stored in the Library Information Database).

a) List the criteria which the proposed system would be able to use to assess whether or not an item is lendable.

Status _____   7.   reQuest participating institution staff can configure time-dependent variables, such as the number of days a request can remain at a library before moving automatically to the next potential lender.

Status _____   a)   CSL can determine the systemwide default settings
                      b)   Indicate which time-dependent variables can be configured

Status A___   **8.**   **The system MUST not limit the total number of interlibrary loan requests statewide that may be in process (in the system) at any one time.**

Status _____   9.   An accounting module will be provided that automatically credits (reimburses) and debits (charges) the interlibrary loan accounts of participating institutions based on their previous interlibrary loan lending and borrowing activity and in accordance with a CSL-defined reimbursement formula.

4.3.2.9.7. ILL – Reports and Statistics

Status A___   **1.**   **reQuest participating institution staff MUST be able to access and print ILL reports that summarize their ILL borrowing and lending activity.**

                      a)   Reports will contain:
Status _____   i)   Bibliographic information for items being requested.
                                    a)   For books and other "returnable material" requests, the report contains
Status _____   (1)   Author
Status _____   (2)   Title
Status _____   (3)   Publisher
Status _____   (4)   Other (please describe)
                                    b)   For photocopy requests, the report contains:
Status _____   (1)   Journal Title
Status _____   (2)   Volume
Status _____   (3)   Date
Status _____   (4)   Pages
Status _____   (5)   Article Author
Status _____   (6)   Article Title
Status _____   (7)   Other (please describe)
Status _____   ii)   Name of the library that filled the request
Status _____   iii)   Status of the ILL request when it completes the ILL cycle (at least complete or unfilled status will be noted).
Status _____   iv)   Date the request was generated
Status _____   v)   Date the request completed the ILL cycle.

Status A___		**b)**	**Reports MUST be available from the Web via standard Web browsers running on PC-compatible and Macintosh computers for viewing and in multiple formats for download.** Formats include:
Status ____		i)	Web/html format.
Status ____		ii)	Excel format.
Status ____		iii)	Comma Delimited format.
Status ____		iv)	Other formats (please specify).

Status A___   2.   **The system MUST capture and preserve (for reporting purposes) statistics for all lending and borrowing transactions conducted on the interlibrary loan system, and MUST exclude any personally identifiable information.**

Status A___   a)   **For copyright compliance, a report by journal title of filled, borrowing copy requests MUST be kept for three years.**

Status A___   b)   **All other ILL statistics MUST be preserved for at least two years.**

Status ____   c)   reQuest participating institution staff can produce statistical reports on lending and borrowing transactions regularly, such as weekly, monthly, quarterly, annually, and cumulatively (for at least two years). These reports can be produced (for display and print) for individual participating institutions as well as for systemwide summaries for CSL staff. These reports adhere to the format (specifically, the data elements) of the Connecticut Interlibrary Loans Monthly Report at www.cslib.org/illform.pdf.

For borrowing activity:

Status ____   i)   total number of filled requests (including photocopies) received.

Status ____   ii)   distribution of total number of filled requests based on the total number of calendar days from patron initiation of request to when the requested item is received by the borrowing institution.

Status ____   a)   The vendor can customize the schedule at CSL's request.

Status ____   iii)   total number of requests that are cancelled/unfilled (excluding requests that are still pending)

Status ____   iv)   other - please describe

For lending activity:

Status ____   v)   total number of items (including photocopies) supplied

Status ____   vi)   total number of requests that were unfilled

Status ____   vii)   other - please describe

Other:

Status ____   viii)   number of ILL borrowing requests created by patrons vs. number of requests created by library staff for patrons

Status ____   ix)   number of patrons who track their own ILL requests and how often they track.

Status ____   d)   Statistical reports will compare current statistics with statistics from other time periods (e.g., 2000 versus 2001, or, October 2000 versus October 2001, or October 2002 versus November 2002).

Status ____   e)   Other (Please describe)

Status ____   3.   Statistics will provide CSL staff with other systemwide statistics of ILL activity per library that will help CSL staff to evaluate the effectiveness of the interlibrary loan system. Please describe.

Status ____   4.   The system employs quality control procedures to ensure that the statistics provided by the system are accurate. Please describe.

4.3.2.9.8.ILL - Interoperability with Other Systems

Though reQuest ILL has assisted participating libraries in their resource sharing activities, many opportunities to streamline the ILL process still exist. Libraries in general should be able to:

- expand the number of libraries to include a sufficient number of potential lenders, thereby maximizing access to material.
- process all of their ILL requests in one system.
- collect all of their ILL statistics in one place.
- have the ILL system take circulation status and other factors (see Subsection 4.3.2.9.6 #2b) into account when the system chooses potential lenders.

In order to encourage participation by libraries of all sizes and types, reQuest ILL needs to address all of these concerns. In addition, the system has to be easy to use so that all libraries, regardless of size and number of requests, can use the system without assistance.

If reQuest ILL could be seamlessly integrated with other ILL systems, both non-participants and reQuest ILL libraries would benefit. For example, a number of libraries process ILL requests within their local networks or consortiums, often using the "system holds" capabilities of their ILS. If a request remains unfilled after being sent from one network/consortium library to another, the borrowing

library will send the request directly to a usage fee-based service, such as OCLC, bypassing libraries represented in reQuest ILL. Some of these libraries participate in reQuest ILL as lenders only. Compliance with ISO ILL standard would allow disparate ILL systems that support the standard to interoperate. If reQuest ILL were able to interoperate with local ILL or ILS systems using the ISO standards, these libraries might be willing to incorporate reQuest ILL libraries as potential ILL lenders.

Another example involves libraries currently using reQuest ILL both as borrower and lender. If an ILL request is unfilled after being routed through the reQuest ILL system, participants have to either resubmit the request to another system (such as OCLC) or fax the request to libraries not participating in reQuest ILL. If the reQuest ILL system were able to interoperate with other systems using ISO ILL standard, participating libraries would be able to vastly expand the number of libraries they deal with for ILL services, while at the same time streamlining their ILL workflow.

Incorporating ISO into reQuest ILL will enhance the system for current participants and will make participation in the statewide service more attractive to libraries that do not currently participate. These system capabilities include:

- The ability to send requests initiated and unfilled at the network/consortium level to reQuest ILL libraries. The request should not be re-sent to libraries that were unable to fill the request within the originating network/consortium, i.e. if the request is coming from a consortium library, it should not be re-sent to reQuest libraries that also belong to that consortium. (Unfilled at first level, forwarded to second level)

- The ability to send requests initiated and unfilled at both network/consortium level and statewide level to another library also using the ISO standard as well as the ability to send the requests either into the requesting library's OCLC account, or into a broker account that will forward the request to OCLC. (Unfilled at first and second levels, forwarded to third level)

- Requests initiated in reQuest by a network/consortium library or network/consortium library patron should have the ability to go first to the network/consortium system. (Initiated at second level, forwarded to first level).

Status ____ 1.   System complies with the current version of:
            a)   ISO standards 10160 and 10161-1.
                  i)   Provide a copy of your completed *ISO 10161-2 Protocol Implementation Conformance Statement (PICS) Proforma*

that is appropriate to the current version of these standards.

Status _____

    b)   The IPIG Profile.

        i)   Which version of the IPIG profile (Version 1.0 released in 1999, Version 2.0: released in 2001, Version 3.0 released in 2002, etc.) does the system conform to?

        ii)   Provide a copy of your completed *IPIG Profile Conformance Statement Requirements List* (see www.nlc-bnc.ca/iso/ill/ipigprfl.htm)

    c)   If you do not provide a copy of your conformance statements for either of these standards, please indicate for each standard your degree of compliance (what functions you have implemented and what functions you have not implemented)

2.   Vendor has successfully performed ISO interoperability testing of system with the following vendors:

Status _____   a)   OCLC-ILL subsystem

Status _____   b)   OCLC ILLiad

Status _____   c)   Auto-Graphics

Status _____   d)   Clio

Status _____   e)   Dynix

Status _____   f)   Innovative Interfaces

Status _____   g)   TLC/Carl

Status _____   h)   Sirsi

Status _____   i)   Endeavor

    j)   Others (please list)

3.   Describe all hardware/software requirements that need to be in place on the ISO-compliant systems in order to communicate with reQuest.

Status _____   4.   System supports automated communication on an ILL request's status.

Status _____   a)   Messages available to requesting library, supplying library, and patron.

Status _____   b)   Communication to patron based on patron preferences.

Status _____   5.   The system integrates ISO ILL Protocol (the current versions of ISO 10160 and 10161) functionality with the current version of ISO 17933 Generic Electronic Document Interchange (GEDI) functionality. Please describe.

Status _____   6.   If a patron creates an ILL request in their home library's interlibrary loan system (if it is ISO-compliant), which is subsequently forwarded to the reQuest interlibrary loan system, the patron will be able to use their home library's interlibrary loan system to track the movement of that request even after the request has been forwarded to the reQuest ILL system.

a)   List the messages that patrons will see during tracking of requests that have been forwarded into the reQuest ISO/ILL system.

Status ____   7.   If a patron creates an ILL request in the reQuest ISO/ILL system, which is subsequently forwarded to another ISO-compliant interlibrary loan system, the patron will be able to use the reQuest ISO/ILL system to track the movement of that request even after the request has been forwarded to another ISO-compliant ILL system.

               a)   List the messages that patrons will see during tracking of requests that have been forwarded from the reQuest ISO/ILL system into another ISO-compliant ILL system.

Status ____   8.   System complies with ANSI/NISO Z39.83-2002 Circulation Interchange Protocol (NCIP)

Status ____   a)   Circ to ILL (C-ILL) Borrowing Profile

Status ____   b)   Circ to ILL (C-ILL) Lending Profile

Status ____   c)   For each profile, please indicate your degree of conformance (what functions you have implemented and what functions you have not implemented)

Status ____   9.   The system uses ANSI/NISO Z39.83-2002 Circulation Interchange Protocol (NCIP) e.g., to authenticate patrons so that they are able to use the reQuest interlibrary loan system. Please describe.

Status A___   **10.**   **Using reQuest, libraries without an OCLC ILL account MUST be able to electronically submit requests for items not found in reQuest or unfilled requests to an OCLC/ILL (interlibrary loan) broker library that will refer the request to OCLC/ILL.**

Status ____   a)   It is possible to establish more than one broker library.

Status ____   b)   The broker library will be able to identify the participating library that sent the request.

Status ____   c)   The broker library will be able to use either OCLC or reQuest to update the request.

Status ____   d)   The broker library will be able to use either OCLC or reQuest to track the status of the request.

Status A___   **11.**   **Libraries with an OCLC/ILL account MUST be able to transfer requests electronically from reQuest to their OCLC/ILL account**

4.3.2.10.CAT - Cataloging

ReQuest cataloging is made up of two components. The reQuest holdings maintenance module serves the basic cataloging needs of over 170 libraries in Connecticut. Participating libraries can add, modify, and delete their holdings directly on reQuest and see their results in real time. Holdings maintenance also allows libraries to download MARC records from reQuest to import into their local systems. 45,457 records were downloaded in calendar year 2002.

A full cataloging module is also offered which currently serves approximately 27 libraries as well as iCONN staff. This module has a full MARC editor as well as an original cataloging component. It also offers access to MARC records from the Library of Congress catalog. With the availability of products such as OCLC's CatExpress, the need for libraries to use a product like this has lessened.

The need is still great, however, for iCONN staff to have a cataloging product with a good MARC editor in order to keep quality control in the union catalog. In addition to a MARC editor, global editing tools would beneficial to keep the database clean.

4.3.2.10.1. Holdings Maintenance

Status A___ **1.** **The vendor MUST provide an online holdings maintenance utility for the reQuest Main Catalog that allows participating institution staff to add a holding, delete a holding, and change a holding.**

Status A___ **a)** **The holding MUST include library symbol and local call number.**

Status ____ b) Please indicate what other information can be included in the holding

Status ____ c) See all holdings additions, changes, and deletions in real time.

Status ____ 2. The vendor provides an online holdings maintenance utility for the reQuest Serials Catalog that allows participating institution staff to add a holding, delete a holding, and change a holding.

Status ____ a) The holding will include the library symbol and summary holdings statement derived from the local library's Local Data Record in CULS.

Status ____ i) For specified libraries, the holding will include copy-level detail as specified in Subsection 4.3.2.2 #16b.

b) Please indicate what other information can be included in the holding

Status ____ c) See all holdings additions, changes, and deletions in real time.

3. The online holdings maintenance utility includes the following capabilities when adding a holding:

Status ____ a) Allows library staff to enter the local call number in a data entry window.

Yes ___ No___

| | | i) | The system does not limit the number of characters that may be entered in the call number field of the record. |

Status ____   b)   Automatically inserts the staff member's library name or library ID code into each holding statement so that the staff member is not required to re-enter the code with each update transaction.

Status ____   c)   Provides for the addition of multiple holdings with unique call numbers for the same title (when the same title exists at different shelf locations)

Status ____   d)   Provides for the addition of internal collection location or external branch location information for each holding. This information is included in the holdings information when downloading the record into the local system but is excluded from reQuest.

Status ____   e)   Provides for the addition of barcode for each holding. This information is included in the holdings information when downloading the record into the local system but is excluded from reQuest.

       i)   Indicate if there is a maximum or minimum number of characters for the barcode

       ii)   Indicate if there are any barcode formats that the system cannot read.

Status A___   **4.**   **The online holdings maintenance utility MUST allow participating institution staff to download records in MARC21 format from:**

Yes ___   **a)**   **ReQuest Main Catalog**

Status ____   i)   Downloaded records will contain the full bibliographic record and only that participating institution's holdings (location and call number).

       a)   Describe downloading procedure (step-by-step)

Status ____   b)   MARC records can be transferred *directly* from reQuest into a library's local library system. Please describe how this is accomplished.

Yes ___   **b)**   **ReQuest Serials Catalog**

Yes ___   i)   Downloaded records will contain the full bibliographic record and only that participating institution's holdings.

       a)   Describe downloading procedure (step-by-step)

Status ____   b)   MARC records can be transferred *directly* from reQuest into a library's local library system. Please describe how this is accomplished.

Status ____   c)   Other MARC resource files (e.g., Library of Congress, Z39.50 catalogs). Please describe how this is done.

Status ____   d)   Downloaded records are saved into one work file (versus requiring a separate file for each downloaded record)

Status ____   i)   There is no limit to the number of records that can be saved into the workfile

Status ____   ii)   MARC records can be marked for subsequent downloading in batch by the local library.

Status ____   iii)   The holdings maintenance software allows the participating library staff to customize or specify the local directory/drive for the workfile.

     iv)   Participating library staff can:

Status ____   a)   View selected records in the workfile

Status ____   b)   Edit selected records in the workfile

Status ____   c)   Print selected records in the workfile

Status ____   d)   E-mail selected records in the workfile

Yes ___   5.   At the option of participating library staff, reQuest and other MARC resource files can be searched either simultaneously or separately. Please describe.

Status ____   6.   The system displays multiple MARC records from one or more MARC resource files at the same time.

Status ____   7.   Participating library staff is authorized to change only their own holdings

Status ____   a)   CSL can approve exceptions (e.g., so that cataloging can be performed on a centralized basis for a multi-branch library or a school district)

Status ____   8.   Participating library staff is not authorized to edit the master bibliographic records.

Status ____   a)   CSL can approve exceptions

Status ____   9.   The system can determine at the initial login whether the user is a library staff member affiliated with a library that is pre-registered to use holdings maintenance. Because these libraries represent a mix of public, school, academic and special libraries, not all libraries have unique agency codes registered with iCONN for authentication purposes, and therefore the use of agency codes for authentication may not be a viable method for determining the user's library affiliation.

     This determination can be made by providing each of the libraries a unique library portal URL applicable to *staff* so that any individual who is a library staff member of a library that is pre-registered to use holdings maintenance can use the unique URL to access a separate staff login screen, where staff can enter a username and password.

         a)   Please describe how this is accomplished

Status ____   10.   Holdings maintenance software searching, display and printing have the same functionality described in Subsection 4.3.2.6.

         a)   Please indicate any exceptions

4.3.2.10.2.Cataloging

Status A___   1.   **Cataloging MUST have a MARC record editor for CSL staff which includes:**

Status ____   a)   a full screen editor
Status ____   b)   the ability to cut and paste fields from one record to another
Status ____   c)   the ability to display multiple MARC records from one or more MARC resource files at the same time.
Status ____   d)   online context-sensitive help with access to AACR2 rules
Status ____   e)   help related to MARC fields and subfields.
Status ____   f)   validation checking when modifying MARC records.
         i)   Please describe what checks are available
Status ____   g)   the ability to merge holdings from one record to another
Status ____   h)   the ability to perform global editing across a select group of records.
         i)   Please describe what types of global editing can be performed.
         ii)   Please indicate if there are any limits to the number of records that can be selected for global editing.
Status ____   i)   the ability to modify and delete bibliographic records
Status ____   j)   the ability to modify any bibliographic variable fields in the MARC record.
Status ____   k)   the ability to modify any fixed fields in the MARC record.
Status ____   l)   the ability to modify the leader in the MARC record.
Status ____   m)   the ability to modify any holdings statement attached to any bibliographic record.
Status ____   n)   the ability for all changes to take effect in real time

Status A___   2.   **The MARC Editor MUST run under the Microsoft Windows operating system.** Indicate the earliest and latest versions of the Microsoft Windows operating system that your system supports, and indicate your policy for ongoing support, including the length of time required to support new versions of the Microsoft Windows operating system and the length of time you will support older versions of the Microsoft Windows operating system.

Status ____   a)   Vendor will port the MARC Editor software to the latest version of the Microsoft operating system within six months of its commercial availability
Status ____   b)   Vendors will support the MARC Editor software running under the previous Microsoft operating system version for at least one year after the new Microsoft operating system is commercially available

Status _____ | 3. | The MARC Editor software runs under the Macintosh operating system. Indicate the earliest and latest versions of the Macintosh operating system that your system supports, and indicate your policy for ongoing support, including the length of time required to support new versions of the Macintosh operating system and the length of time you will support older versions of the Macintosh operating system.

Status _____ | a) | Vendor will port the MARC Editor software to the latest version of the Macintosh operating system within six months of its commercial availability

Status _____ | b) | Vendors will support the MARC Editor software running under the previous Macintosh operating system version for at least one year after the new Macintosh operating system is commercially available

Status _____ | c) | The MARC Editor software will run natively on Macintosh operating system OS X without running in the Macintosh OS 9 emulation mode.

Status _____ | d) | The MARC Editor software versions required to provide any of the services described in this RFP can run in a LAN environment, such that one copy of the MARC Editor software will operate from a LAN server and be shared by all LAN users.

4. The vendor will provide CSL staff with:

Status _____ | a) | Full MARC record editing privileges
Status _____ | b) | Access to the LC MARC database
Status _____ | c) | Access to the LC Name and Subject authorities

5. At CSL's direction, the vendor will provide any number of specific participating institutions:

Status _____ | a) | Full MARC record editing privileges
Status _____ | b) | Access to the LC MARC database with the ability to download multiple LC MARC records into one file
Status _____ | c) | Access to the LC Name and Subject authorities with the ability to download multiple authority records into one file

Status _____ | 6. | Cataloging includes the same functionality as described in Subsection 4.3.2.10 #1 (Holdings Maintenance)
a) Please indicate any exceptions

Status _____ | 7. | The system can determine at the initial login whether the user is a library staff member affiliated with a library that is pre-registered to use cataloging software. Because these libraries represent a mix of public, school, academic and special libraries, not all libraries have unique agency codes registered with iCONN for authentication purposes, and therefore the use of agency codes for authentication may not be a viable method for determining the user's library affiliation.

This determination can be made by providing each of the libraries a unique library portal URL applicable to *staff* so that any individual who is a library staff member of a library that is pre-registered to use cataloging software can use the unique URL to access a separate staff login screen, where staff can enter a username and password.

    a)   Please describe how this is accomplished

Status ____   8.   Cataloging searching, display and printing have the same functionality described in Subsection 4.3.2.6.

    a)   Please indicate any exceptions

Status ____   9.   Cataloging displays full bibliographic information in both MARC and labeled formats, including fixed field and leader data.

Status ____   10.   Cataloging displays a single bibliographic record for each title, with one or multiple individual holding statements attached.

Status ____   11.   Cataloging enables bibliographic records from other bibliographic sources (other than the reQuest catalog) to be retrieved and downloaded using the Z39.50 retrieval method. Please describe.

Status ____   a)   System supports the Z39.50 DatabaseUpdate Implementation for OCLC Z39.50 Cataloging: Extended Service Definition (see www.oclc.org/oclc/cataloging/z3950/zcat_dbupdate.htm)

4.3.2.10.3. Statistics

Status ____   1.   The system provides CSL with online access to a report broken down and labeled by institution and by specific record source (online cataloging on reQuest or batch submissions from local systems or OCLC) that includes the following information both for any user-specified date range, the most recent month and cumulatively (total to date):

Status ____   a)   total number of bibliographic records added
Status ____   b)   total number of bibliographic records deleted
Status ____   c)   total number of bibliographic records modified
Status ____   d)   total number of unique bibliographic records added (a unique record is a record that did not previously exist in the reQuest database, e.g., a record derived from the LC MARC database)
Status ____   e)   total number of holdings added
Status ____   f)   total number of holdings deleted
Status ____   g)   total number of holdings changed
Status ____   h)   total number of MARC records downloaded
Status ____   i)   total number of bibliographic records merged
Status ____   j)   other (please describe)

Status ____
Status ____
Status ____
Status ____

2. The system provides participating libraries with online access to a monthly report with the following information for that library only:
   a) total number of holdings added
   b) total number of holdings deleted
   c) total number of holdings changed
   d) total number of MARC records downloaded

Status ____

3. Statistical reports for CSL and for participating libraries will compare current statistics with statistics from other time periods (e.g., 2000 versus 2001, or, October 2000 versus October 2001, or October 2002 versus November 2002).

Status ____

4. Statistics should be available to participating libraries and to CSL staff for at least two years

Status ____
Status ____
Status ____
Status ____
Status ____
Status ____

5. Participating libraries and CSL staff should be able to display and/or download their own statistics via the Web in various formats.
   a) MS Excel
   b) MS Access
   c) Comma-delimited
   d) MS Word
   e) Web-based (HTML)
   f) Other (please specify)

Status ____

6. The system employs quality control procedures to ensure that the statistics provided by the system are accurate. Please describe.

APPENDICES

Description of reQuest

Catalog Description

reQuest consists of two catalogs: the Main Catalog, which contains records for library materials of all formats, and the Serials Catalog, which contains the complete Connecticut Union List of Serials (CULS). The Main Catalog contains over 3.7 million records with over 17 million associated holdings contributed by 363 libraries. The Serials Catalog contains approximately 70,000 records and 195,000 associated holdings contributed by 465 libraries. It is updated once annually. For a listing of what libraries have holdings in reQuest, see www.iconn.org/staff/libholdings.html.

What Libraries Use reQuest Services?

There are now 245 libraries using one or more of the reQuest statewide library catalog services (up from 228 libraries in July 2002). Included are 132 public libraries, 76 school libraries, 21 academic libraries and 16 special libraries. 191 libraries use the interlibrary loan service, 183 use holdings maintenance, 64 use CatExpress and 27 use the full cataloging module. See www.iconn.org/staff/requestparticipants.html.

How Are Records/Holdings Contributed?

The methods available for contributing records to reQuest (Main and Serials Catalogs) are described at www.iconn.org/staff/documents/contribreq.pdf.

Regarding the Main Catalog, 44% of the holdings are updated daily, 21% are updated monthly, 26% are updated annually, and 9% are updated in other time intervals. Accordingly, 65% of the holdings in reQuest are updated at least monthly, which is up from 48% in September 2001. We encourage all contributors to update their holdings in reQuest at least monthly.

Currently, 44% of the holdings are contributed by five regional multi-library networks (four multi-type library, one public library) which have a total of approximately 140 member libraries. 35% of the holdings—contributed by 66 full OCLC member libraries—are contributed through OCLC's daily FTP MARC Record Subscription Service. 21% of the holdings are contributed by approximately 157 small and large, local (single library) automated systems and through the holdings maintenance facility in reQuest.

The serials catalog is updated independently of the main catalog by an annual tape extraction from OCLC that essentially replaces the previous catalog with the new catalog. OCLC is unable to provide a daily MARC Record Subscription Service for the Serials Catalog.

Master Record Selection

Master records are selected among two or more duplicate records according to the following major priorities (listed in descending order): GPO records, OCLC records contributed directly through OCLC, OCLC records contributed through local systems or regional networks, LC MARC records, other MARC records (e.g., UTLAS), and non-LC MARC records from microcomputer systems. Matching records with the same priority are selected based on recency. Currently, all systems contributing to reQuest are MARC-based.

Authority Control

Using the most current LC authority files, authority control (name and subject) using basic LC validation is applied to all records in the Main Catalog at least once annually, and to all records in the Serials Catalog each time the Serials Catalog is updated.

Note: the main administrative area for reQuest is located at www.iconn.org/staff/request.html.

ReQuest Participants

245 reQuest Participants – breakdown by module
- 191 ILL
- 183 WebCAT
- 27 Full Cataloging (CAT)
- 64 CatExpress

245 reQuest Participants – breakdown by library type
- 132 Public libraries
- 76 School libraries
- 21 Academic libraries
- 16 Special libraries

191 ILL Participants – breakdown by library type
- 121 Public libraries
- 41 School libraries
- 18 Academic libraries
- 11 Special libraries

183 WebCAT Participants – breakdown by library type
- 86 Public libraries
- 70 School libraries
- 14 Special libraries
- 13 Academic libraries

27 CAT Participants – breakdown by library type
- 13 Public libraries
- 10 School libraries
- 3 Special libraries
- 1 Academic library

64 CatExpress Participants – breakdown by library type
- 26 Public libraries
- 33 School libraries
- 4 Special libraries
- 1 Academic library

Note: A directory showing which libraries are using which services is located at www.iconn.org/staff/requestparticipants.html.

Issues and Opportunities Pertaining to Library Portal

On an imaginary future …

"The world's information resources are abundant, but time is a scarce commodity. The ideal discovery tool, therefore, is one which consults omnivorously, but which returns a selection of relevant results in rapid sequence. Searchers find what they need promptly without having to wade through a vast assortment of tangentially related, inaccurate, or otherwise deficient data. It costs little to build and operate, and it yields a high degree of user satisfaction because it delivers reliable information in a timely manner with relative ease. Such a tool is still imaginary, although it could become a reality in the near future if librarians organize themselves appropriately and commit the resources to design it." ["Abundance, Attention, and Access: of Portals and Catalogs" by Sarah E. Thomas, University Librarian, Cornell University Library - www.arl.org/newsltr/212/portal.html]

On Content …

"One of the salient distinctions of this portal will be that it will bridge the analog and digital worlds in a far more comprehensive way than most Internet search engines do, calling attention to the 96% of the world's published knowledge that does not exist electronically." ["Abundance, Attention, and Access: of Portals and Catalogs" by Sarah E. Thomas, University Librarian, Cornell University Library - www.arl.org/newsltr/212/portal.html]

"They [libraries] can forge a link between past knowledge, as collected and curated in library and archival repositories, and emerging ideas, as manifested in a variety of media, in a way that a search engine which restricts itself to the URL's of web pages cannot. And libraries can permit and facilitate the discovery and use of proprietary information that is not open to the independent Web searcher using a commercial portal. This licensed content may not even be located through the search engine serving that portal because of the security wall the content provider has erected to defend its property." ["The Catalog as Portal to the Internet" (Final version December 2000) by Sarah E. Thomas, University Librarian, Cornell University Library - http://lcweb.loc.gov/catdir/bibcontrol/thomas_paper.html]

"… virtually all content is moving to digital form rapidly. The Web isn't' a test database -- it's a real-world collection of an enormous amount of information, some of it of great quality, importance and timeliness. … we have now reached a "critical mass" of digital materials, and this will only grow, and this content will become available for computational indexing and retrieval.

One of the great potentials of the digital environment is to elevate images, sound recordings, video, interactive simulations and other types of materials to a much more mainstream role in discourse, communication and the representation and capture of knowledge and of events than they have enjoyed up till now. We are already starting to see this happen; digital articles, term papers, or business communications can incorporate these nontextual components much more casually than their print predecessors. Tremendous amounts of audio and video are being routinely captured as a byproduct of various events and subsequently made available.

Destiny may be digital, but we will be a long time reaching this destiny, and this long transitional period will call for careful management. We are already seeing print collections in our great libraries beginning to fade into invisibility for many patrons; materials available in digital form are so conveniently available, and so much more accessible through the range of retrieval systems when compared to print collections accessible only through bibliographic surrogates, and then further handicapped by document delivery considerations, that for these patrons the collection may as well only contain the digital content. While the amount of new material available in digital form is constantly growing, and there are major programs both in the noncommercial and commercial sectors to retrospectively convert print materials to digital form, this will be a slow process that will take many decades to complete. For these printed or other physical materials, bibliographic surrogates (and to some extent perhaps socially-based discovery systems) are the only means of access.

Digital content isn't going to be simply text (or images, or sound); rather it is going to be complex structured objects that include both the "content" -- the text, images or whatever -- and also tagged metadata associated with the content." ["The New Context for Bibliographic Control In the New Millennium" by Clifford Lynch - http://lcweb.loc.gov/catdir/bibcontrol/lynch_paper.html]

On the User Interface …

Excerpts from recent focus group interviews at a university:

> *I want a single search to look at all the information as opposed to having to know that I need to go to a certain index and search for this type of information. I don't have to know whether it's in biological abstracts or whether it's an online journal that we hold, it would just go find it for me in whatever place it happened to be.*

> *It would be nice to be able to . . . have an interface that didn't require training and that was intuitive.*

My wish would be that the interface of the library's resources would look like Google, and it would operate that simply. ["Editorial: Listening to Our Users" by Dan Marmion - www.ala.org/Content/NavigationMenu/LITA/LITA_Publications4/ITAL__Information_Technology_and_Libraries/2102_Editorial.htm]

"Most users *do not care* where the information they need comes from, or who provides it … Nor should they have to … But our systems presently require them to know these things … *How can we create systems that minimize what the user needs to know to get what they want?* [Roy Tennant, "The Search for the Holy Grail: Why One Stop Searching is Both *Essential* and *Hopeless*" - http://escholarship.cdlib.org/rtennant/presentations/2002ala/mars/]

"In our own research, an overwhelming number of college students reported that the Internet, rather than the library, is the primary site of their information searches. Nearly three-quarters (73%) of college students said they use the Internet more than the library, while only 9% said they use the library more than the Internet for information searching. … Traditionally, and ideally, the library has been a place where students go to study and collect materials used for papers, presentations and reports. Of course, people often socialize at the library, too. Nowadays, the Internet has changed the way students use the library. Students tend to use the Internet prior to going to the library to find information. During direct observations of college students' use of the Internet in a library and in campus computer labs, it was noted that the majority of students' time was not spent using the library resources. Rather, email use, instant messaging and Web-surfing dominated students computer activity in the library. Almost every student that was observed checked his or her email while in the computer labs, but very few were observed surfing university-based or library Web sites. Those students who were using the computer lab to do academic-related work made use of commercial search engines rather than university and library Web sites." ["The Internet Goes to College: How Students are Living in the Future with Today's Technology," September 15, 2002, Pew Internet & American Life Project - www.pewinternet.org/reports/pdfs/PIP_College_Report.pdf]

"[Portals] will turn the Web from an institution-centric repository of information and applications to a dynamic user-centric collection of everything useful to a particular person in a particular role. Instead of a single home page that proclaims identically to all who visit how grand the institution is, portals will give nearly every user a customized, personalizable, unique Web page." [Howard Strauss in *Web Portals and Higher Education: Technologies to Make IT Personal*, 2002

Matching/Deduplication Criteria

The current program proceeds sequentially through the following 5 steps and in this order:

<u>OCLC Records</u>:
1. By OCLC Control Number [mandatory] only. Format Indicator is ignored.

<u>Non-OCLC Records</u>:
2. LCCN [mandatory], Format Indicator [mandatory], 1st 10 characters of Title (245a)
3. ISBN [mandatory], Format Indicator [mandatory], plus 1st 10 characters of Title (245a)
4. ISSN [mandatory], Format Indicator [mandatory], plus 1st 10 characters of Title (245a)
5. If matching by number with text validation fails, matching would be via TEXT on:

> Full Title: 245 $a [mandatory], $b, 1st 7 characters of subfield $h
> Author (1st 80 characters)
> Language (Field 008 Positions 35-37)
> Form of item (Field 008 Position 23)
> Publication Date: 260 $c 1st 5 dates (ignores brackets and alpha characters)
> Publisher Name: 260 $b 1st 5 words (ignores initials)
> Format Indicator [mandatory]

- Note: the text validation criteria for items 2-5 above can be changed. Initial articles are ignored when matching on title. All opportunities for matching by control number (steps 1 - 4) are exhausted before attempting to match by text alone (5).

<u>Mandatory and Non-mandatory Criteria</u>
All mandatory items must match. All nonmandatory items must be present otherwise a match is precluded.

<u>Format Indicator - Leader Positions 6 and 7</u>
The absence of a format indicator in only one of the records precludes a match, but its absence in both records does not preclude a match.

<u>Matching Subfields for Number Matches</u>

Input record subfield	Master record subfield	ACTION
$a	$a	match occurs
$a	$z	match occurs - only holdings are updated
$z	$a	match occurs
$z	$z	no action - this condition is not checked for

PUBLISHER VALIDATION (260 $b)

If 260 $b is requested as a validation point, a two-way keyword is used for the first 5 keywords in the subfield (initials are ignored).

The match looks for the first significant keyword in the incoming record's 260 $b subfield, and matches it to that keyword anywhere in the potential match record.

If a match fails, the same process is reversed and the match is tried again. Multiple instances of $b are searched for a match.

For instance, a match like:

    260 $a New York : $b A. E. Knopf, $c 1988.
    260 $a New York : $b Knopf, $c 1988.

would occur because initials are ignored in selecting the keyword to be used.

In another example, the keyword match is two-way. Two publishers will be found to be a match:

    260   $a New York : $b Beginner Books: $b distributed by Random House, $c 1997
    260   $a New York : $b Random House, $c 1997.

When the matching is reversed: The first pass looks for a match using the keyword BEGINNER and fail, but when the process is reversed, the match is found using the keyword RANDOM, then finding the match in the second $b of the matched record.

PUBLICATION DATE VALIDATION (260 $c)

Validates for the first (x) dates in the 260 $c subfield. Brackets and alpha characters are ignored. The match is a two-way. For example, the following 260 $c samples would be seen as a match if the processor chooses to validate for four dates in the 260 $c

    260 $a New York : $b Knopf, $c 1988, c1982
    260 $a New York : $b Knopf, $c 1982.

Updating Multi-library Network Holdings in reQuest

A transaction is defined as an event in a network database caused by any one of the following:

    A new record is added
    One or more holders is added to an existing record
    A call number of an existing holder changes
    A record (and all associated holders) is deleted
    One or more holders is deleted from a record

Using this approach, every time a transaction occurs to a record in a network database, that record and all its associated holders are output to a transaction file. If all holders are being removed from a record, the transaction file will contain that record with no holders. This transaction file cumulates all transactions that have occurred since the end date of the previous set of transactions submitted to reQuest. This file is submitted to the vendor who will then match the file against that database. For every match found, all existing holders (for that network only) will be removed from reQuest and replaced by the new set of holders on the transaction tape. If there are no holders attached to the record on the transaction tape, this constitutes a full delete (for that network only). Unique records and their associated holders will be added to reQuest, and new records (adds) that match existing records will be merged with the existing record in reQuest and all holders consolidated onto that record. The vendor will process transactions from each data provider in the order in which they appear on the transaction tape.

This method effectively solves the most difficult problem in processing transactions from a network database—capturing deletes.

To do this, the vendor must be able to accurately associate the library symbol of every network member library that has holdings are in reQuest with its respective library network (e.g., Bibliomation, Connect, LION, LEAP, etc.).

This updating method is also available to any standalone local system that chooses to use it.

Examples of Special Processing in reQuest

The following examples are derived from previous production work on reQuest:

<u>CLSI</u> System (applies to just the LEAP network): Using the Author/Title (author/title) Key, link all records in the MARC file to holders in the Item record file.

Retain MeSH's (Medical Subject Headings) contributed by <u>UCONN Health Center</u> and <u>VA Med Center</u>. Retain both MeSH's and LCSH's (Library of Congress Subject Headings) on any records they match.

The upgrade level of UCHC's OCLC records should be increased from 1B to higher than 1A so that they will upgrade any VA records they match on (to avoid the problem of duplicate subject headings).

Remove alpha prefix from the monthly catalog # (Field 958) of all GPO (government document) records. Build the GPO holder using only the last (most current) 086 Field (SuDoc #). Patron display field descriptors allow patrons to distinguish between one or more "Previous" SuDoc numbers and the most "Current" SuDoc number.

Associate the library symbols of all libraries belonging to a regional library network to the appropriate network. Update these associations as libraries change their network affiliations.

<u>CULS (Connecticut Union List of Serials)</u>: Replace current with new database. Extract CLNO $a and $b (call number) for the following reQuest symbols: CZL (CT State Library), UCW (UCONN-Storrs) and WCSB (Western CT State University-Business).

Process monthly <u>GPO</u> tapes as upgrades.

<u>LEAP</u> (a regional multi-library network) will submit Marc records in lieu of ETR records. Sources of MARC records are: UTLAS (two thirds), Bibliofile (one third), and a small number of originally cataloged records. Bibliofile AV (audio-visual) records have a non-LCCN preceded by "pms" in 010 and no valid LCCN anywhere else in the record. Please remove all invalid 010 fields (any 010 containing "pms"). Originally cataloged records "should" have a <u>LEAP</u>-assigned lib symbol in 040. Effective June 15, 1993, LEAP catalogers will place a "d" in 008/39 for originally cataloged records. Run records through standard LC MARC identification program. LC MARC records should be assigned Level 2. Non-LC MARC records that are UTLAS should be assigned Level 3. All other non-LC MARC records should be assigned Level 4. It was noted that a small number of originally cataloged records have an invalid ISBN, however there are too many variations to correct globally. All nonhits should be accepted.

<u>Hamden PL</u>'s database contains an unknown number of originally cataloged records with invalid LCCN's (because they have been prefixed with the lib symbol, as well as the problem noted

above relative to the "pms" prefix. Please remove the LCCN of any record when the LCCN is preceded by either of the following: pms, hmi, whm, csh, nhv, org, ehv, and nbr. The lib symbols could be either all upper or all lower case.

CT State Library - submits CZLA (CT State Library-Archives) records from its Archives collection. Call number should be in 099. CZL (CT State Library) is now cataloging GPO documents from its own collection under the CZLG symbol. These records should follow the profile parameters (i.e. no preceding automatic stamp - the call number is the SuDoc number) established for Auto-Graphics' GPO records, except that CZLG records submitted via OCLC would be designated 1A while Auto-Graphics' GPO records are designated 1 (higher).

Auto-Graphics'GPO records should supersede any matching OCLC records already in reQuest. Existing holders should be consolidated onto the Auto-Graphics' GPO records. Put just the most current (last 086) SuDoc Number in holders representing CZLG holdings.

Preserve MeSH headings for VA Medical Center (VA) and UCONN Health Center (UCHC). Preserve both MeSH and LCSH headings for any records from VA and UCHC that match records from other data providers.

Short record purging program will be applied against all non-OCLC records (i.e., all that are candidates for inclusion in reQuest) prior to merging these records into the catalog. No records from "HHC" (Hamden Historical Society) or "CZLA" (CSL-Archives) should be purged. Purged records will be matched against existing records only for the purpose of retaining holders—nonhits will not be added.

Marcive transactions for EWS (Ethel Walker School), and Bibliofile transactions for Taft will flag deletes by placing a "d" in Leader/5.

UCONN Law (UCL) - All OCLC records (which represent 25% of their database) should be processed as Level 1B records. NOTE: some of their OCLC records (e.g., #8393916-B) will need to be normalized by dropping the suffix (e.g., "-B") which was added to those OCLC-derived records which UCL updated before loading into RLIN. Of the remaining records which do not match existing OCLC records in reQuest, these records should be run through the standard LC MARC identification program and have upgrade levels assigned in accordance with that standard process, however non-LC MARC/non-OCLC records from UCONN Law should be assigned Level 2B rather than the usual Level 3. All short records, and any records without an 001 field—some were inadvertently included in what UCL sent you—should be removed (actually deleted from the input file). There is no need to retain any RLIN control numbers.

Microcomputer Systems Submitting Complete Databases (and Baker & Taylor records submitted separately): Identify Level 2 (LC MARC) records and add these records/holdings. Accept only holdings from non-LC MARC records that match existing records in reQuest. Non-LC MARC records that do not match existing records should be excluded and output to a "nonhits" file. Data providers will have the option of receiving (and paying for) a printout of these records to facilitate upgrading them.

Microcomputer Systems Submitting Transactions - It is assumed that any transactions submitted would be cataloged according to the minimum cataloging standards set for reQuest, and therefore it should be unnecessary to exclude nonmatching, non-LC MARC records from records added to reQuest. Accordingly, identify LC MARC records and add these records as Level 2. Assign Level 4 to remaining records and add these records.

NorwalkHS Norwalk High School) - delete transactions (separate diskette) are not in MARC format. Auto-Graphics will report on any delete transactions that fail to match. A decision will be made regarding the effectiveness of NorwalkHS's procedure for reporting delete transactions.

Groton/Waterford System - All records having the "wtf" prefix in 001 are originally cataloged (there are other originally cataloged records that can't be so identified). These should be designated Level 3 and Position 008/39 should be set to "d". Originally cataloged records that were cataloged after Groton/Waterford's submission to R/7 should have a "d" in 008/39.

Volume of Records Contributed to reQuest
January – December 2002

Records Contributed Through OCLC Daily EDX Service*

Month	Peak Records in One Day	Total Records By Month
January	1,942	26,427
February	1,544	24,834
March	2,662	29,270
April	2,263	31,422
May	2,971	33,084
June	1,932	27,625
July	3,159	39,332
August	2,428	37,013
September	2,204	27,155
October	1,807	30,388
November	1,845	23,705
December	1,626	22,882

* This includes approximately 40 full OCLC member libraries and 64 CatExpress libraries

Records Contributed From Local Systems and Regional Networks

Month	Total Records By Month	Total # Separate Data Sources
January	182,676	20
February	149,287	20
March	560,958	21
April	236,633	30
May	90,718	20
June	51,256	18
July	138,771	17
August	82,393	17
September	141,589	23
October	145,401	26
November	353,763	20
December	1,192,752	21

Note: The volume of records contributed from local and regional networks is expected to increase in the future.

Slips Used By Statewide Delivery System

The image below was reduced to fit on this page. The original size of each of the two slips represented is 4.25" X 11".

Data Elements in the Current
Library Information Database

Fields in the Library Information Database are outlined below.
Information *italicized* is a fixed field reply.
Fields **bolded** are hotlinked.

Library Code:
Library Name:
OCLC Code:
Copyright: *CCL* or *CCG*   By:
Address:
Ship To Address:
Route Schedule:
ILL Contact Name:
ILL Contact Title:
ILL Phone Number:
ILL Fax Number:
ILL Email:
Ariel Address:
Is the library open to the public?
- Explanation:
Can the public borrow material from this library in person?
- Explanation:
Can the public borrow material from this library through interlibrary loan?
- Explanation:
Hours Library Open:
Exceptions to Library Hours Open:
Hours ILL Open:
Notes (Maximum 50 chars per line):
Holiday List:
Library Catalog (URL):
Library HomePage (URL):
Directions: (text)
Directions (URL):
Regulations (URL):
System Message (URL):
ILL Message (URL):
ILL Help Page (URL):
Library Help Page (URL):

LENDING POLICY	Lend (Y, N, NA)	Fee ($)	Loan Period (days)	Renewal Loan Period (days)	Place Hold (Y, N)	Exceptions, Comments
Books	N	0	0	0	N	
New Books	N	0	0	0	N	
Non-fiction Videos	N	0	0	0	N	
Entertainment videos	N	0	0	0	N	
DVDs (Digital Video Discs)	N	0	0	0	N	
Audio Cassettes	N	0	0	0	N	
Audio CDs	N	0	0	0	N	
CD-ROMs	N	0	0	0	N	
CT DOCs	N	0	0	0	N	
Federal DOCs	N	0	0	0	N	
Other Gov DOCs	N	0	0	0	N	
Bound Serials	N	0	0	0	N	
Unbound Serials	N	0	0	0	N	
Newspapers	N	0	0	0	N	
Dissertations/Theses	N	0	0	0	N	
Microfiche	N	0	0	0	N	
Microfilm	N	0	0	0	N	
Micropaque	N	0	0	0	N	
Other Materials	N	0	0	0	N	

COPIES POLICY	Photocopy	FAX	ARIEL, Email, Other
# of copies at no charge			
Per copy charge			
Electronic Data			
Microfiche			
Microfilm			
Micropaque			
Other			

SHIPPING METHODS	Materials	Y, N
Connecticar		*N or Y*
US Mail		*N or Y*
UPS		*N or Y*
Express Mail		*N or Y*
Other: (Please specify):		*N or Y*

REQUEST ACCEPTANCE METHODS	Accept ILL By (Y, N)
Phone	*N or Y*
Fax	*N or Y*
E-Mail	*N or Y*
Mail/C-Car	*N or Y*
Hand Delivered	*N or Y*
ALA Form	*N or Y*
reQuest	*N or Y*
OCLC	*N or Y*
Bibliomation	*N or Y*
CONNECT	*N or Y*
LEAP	*N or Y*
LION	*N or Y*
Other (Please specify):	*N or Y*

DoIT Requirements for Vendor Response Time

When assigning calls a priority level should be set, based on the business impact of the customer (major system or number of customers effected). This should be set with the customer, but the Help Desk and/or Level 2 support staff have the ability to adjust the priority if mutually agreed upon with the customer. The following are guidelines for assigning the priority of a call based on the type of problem.

Priority	Classification	Definition	Target Response	Target Resolution
1	Urgent	Total customer outage or outage having a major impact on a customer's business, affecting the majority of users or major applications.	10 minutes	1 hour
2	High	Outage having an impact on a customer's business, affecting many users or a severe performance degradation affecting most or all customer's applications.	15 minutes	2 hours
3	Medium	Problem affecting 1 individual or a small user group. Alternate bypass may be available.	1 hour	4 hours
4	Low	Problem that is inconvenient and not critical to customer's business.	1 business day	2 business days
5	No Urgency	Problem that requires an enhancement, but with no urgency		Agreement with Customer

Languages Spoken at Home in Connecticut
(based on U.S. Census 2000)

Language	Number	Language	Number
Spanish or Spanish Creole	268,044	Japanese	3,829
Italian	50,891	African Languages	3,656
French (including Patois, Cajun)	42,947	Scandinavian Languages	3,535
Polish	38,492	Gujarathi	3,354
Portuguese and Portuguese Creole	30,667	Urdu	3,310
Chinese	15,782	Laotian	3,038
German	14,310	Serbo-Croatian	2,543
Vietnamese	12,499	Hebrew	2,159
Other Indo-European Languages	11,978	Mon-Khmer, Cambodian	2,043
Greek	9,445	Other West Germanic Languages	1,834
Russian	8,807	Persian	1,766
French Creole	7,856	Yiddish	1,710
Other Slavic Languages	6,309	Other and Unspecified Languages	1,314
Other Indic Languages	5,750	Armenian	971
Other Asian Languages	5,336	Other Pacific Island Languages	904
Arabic	5,172	Thai	781
Tagalog	5,038	Other Native North American Languages	229
Hindi	4,860	Miao, Hmong	116
Korean	4,528	Navajo	42
Hungarian	3,969		

State of Connecticut Request for Proposals #023-A-29-7057
ATTACHMENT 3

VENDOR PROPOSAL FORMAT AND CONTENT REQUIRMENTS

This attachment describes the Vendor proposal format and content requirements.

TABLE OF CONTENTS

1. **Separate Packages for Business and Technical Proposal and Cost Proposal**

Each proposal submitted in response to this RFP must include two separate, sealed, submission packages:

- Business and Technical Proposal: The first package is to be labeled with the Vendor's name and address, the RFP number (RFP #023-A-29-7057) and marked "Business and Technical Proposal." This package is to include the full response to all of the requirements of this RFP, **without any cost information**. This package must contain the information required in Sections 1 – 7 (pp.8-10) as listed and described in this Attachment.

- Cost Proposal: The second package is to be labeled with the Vendor's name and address, RFP number (RFP #023-A-29-7057) and marked "Cost Proposal." This package is to include **all the cost information** as described herein and in Attachment 6 – Vendor Proposal Cost Worksheets, including all requested **dollar amounts**. This package must contain the information required in Section 8 (pp.10-12) as listed and described in this Attachment.

2.   Hardcopy and Electronic Submission Requirements

Vendors shall submit one (1) signed original in hardcopy, seven (7) additional hardcopies of the Business and Technical Proposal and six (6) electronic copies of each proposal, following the General Format and Content Requirements described below:

The content of the Vendor's response must be exactly the same, between hardcopy and electronic submissions.

2.1.   Hardcopy Submission Requirements

The original proposal must be bound in a **loose leaf binder** (do not submit spiral bound materials) with the Vendor's name and address, the RFP number (RFP #023-A-29-7057) and marked "Business and Technical Proposal" or "Cost Proposal" as applicable, on the outside front cover, on the spine, and on each page; each page in the binder must be numbered consecutively in Arabic numbers from the beginning of the binder (Transmittal Letter) to the end; and a tab sheet with a title keyed to the Table of Contents must separate each major section. The page format shall be as follows:

- Text shall be on 8 ½" x 11" paper in the "portrait" orientation

- Text shall be single-spaced

- Paragraphs shall be separated by a minimum of 6 points vertical spacing

- Font shall be a minimum of 12 point

- The binding edge margin of all pages shall be a minimum of one and one half inches (1 ½"), all other margins shall be one inch (1")

- Graphics may have a "landscape" orientation, bound along the top side

- Graphics may have a smaller text spacing, pitch and font size, but not less than 8 point

- Graphics (except for the Cost Proposal) may be submitted in plotted format, when legibility considerations dictate the larger format. In such cases, Vendors must include plotted graphic hardcopy as an Exhibit (see Section 6 – Exhibits instructions, below)

    a) Plotted graphics must be no larger than standard drafting size "D" (22 x 34 inches)

    b) All plotted graphics must be submitted on the same size plotted output.

Resumes are considered to be text, not graphics.

Spreadsheets depicting numeric content and tables, and project plans, are considered to be graphics, not text.

2.2. Electronic Submission Requirements

The Vendor must provide electronic copies of each of the proposals on CD-ROM. The Business and Technical Proposal electronic submission must be made on a separate CD-ROM from the Cost Proposal electronic submission. Each must be labeled with the same information as the hard-copy submissions, and each must be submitted in their respective separate submission packages.

The complete Business and Technical proposal, including Sections 1 – 7, must be submitted as a single Adobe Acrobat version 5.x (PDF) format file, with Fast Web View and Tagged PDF enabled, with a master table of contents supporting hyperlinks to each entry in the table of contents, and a link to the master table of contents on each page.

Both the Business and Technical Proposal and the Cost Proposal must also be submitted (separately, as described above) in original document format, in compliance with the State standard for Office Software, as follows:

- Microsoft Office 2000 is the State standard for Office Software. Accordingly, text documents must be provided in WORD format, spreadsheet documents must be in EXCEL format.

- Any data or information models, project plans, or other response deliverables that are developed using software other than the State standard for Office Software, must be submitted in a form readable by State standard software, or must be submitted with a "reader" or the software necessary to permit the State to display and evaluate the submission electronically.

- The contents of the CD-ROMs must be organized intuitively; e.g., with separate folders for proposal documents and any "reader" or display tools. It is strongly preferred that there be no files in the root directory of the CD-ROM other than "Index.htm" (see next paragraph).

Vendors must provide an Index.htm file in the root directory list with a short description, and provide hyperlinks to the contents of the CD-ROM.

3.   Other General Format and Content Requirements

3.1.   Cross Reference Requirements

All proposal text must be specifically cross-referenced to the part of the RFP to which it applies, by specifying the referenced document, Section, sub-section, Heading and paragraph. Responses to elements within a paragraph should quote the language they are responding to.

3.2.   Requirements to Minimize Redundant Text

-   The State expects that elements of the Vendors' responses will be applicable to more than one requirement of the RFP. Vendors must minimize redundant copies of the same response text, by providing the common description of the text in one location in the response, and providing a reference to that description in the other locations where it is appropriate to reference it. The specific application of the response, for the purpose of each location where it is relevant, should be explained in that relevant location, and the reference to the common description should follow that description.

3.3.   Page Length Limits

The following limits are intended to support comparability between Vendor proposals and to limit the unrelated and unrequested inclusion of irrelevant or indirectly relevant materials. The State may remove any pages that exceed length limits from the Vendor's proposal prior to evaluation.

1)   Transmittal Letter: at most 5 pages (not including required forms)
2)   Executive Summary: at most 5 pages (not including Schedule of Deliverables)
3)   Resumes: at most 2 pages per individual
4)   Qualifications, Experience and References: at most 10 pages (not including Resumes)

4.   General Instructions for Responding to Requirements

4.1.   General Instructions for System Requirements

1)   You are required to respond to each requirement in Attachment 2 as follows:

- If the response indicator in the left margin is either "Status ___" or "Status A ___", the Vendor's response must conform to the available responses given in the chart below:

Status	Status Definition
A3	Yes - Operational in at least two client sites for at least three years after completion of beta testing*
A2	Yes - Operational in at least two client sites for at least one year after completion of beta testing *
A1	Yes - Operational in at least one client site for less than one year after completion of beta testing *
A0	Yes - Operational in vendor's production system – available and demonstrable now**
D	Yes - Will complete development and beta testing before start of acceptance period
C	No - Committed (and funded) to develop within one year of proposal date
N	No/Not Applicable

* Operational means the function is running, being used by the client(s) and the client(s) are satisfied. The same number of client references must be supplied by vendor if requested

** Now = Date of Proposal

Yes means the proposed system includes this functionality

No means the proposed system does not include this functionality

- If the response indicator in the left margin is "Yes ___", this is a **mandatory** requirement or a Core System requirement and the Vendor must place an "x" in the response block.

- If the response indicator in the left margin is "Yes ___ No ___", the Vendor must place an "x" in the "Yes" response block for an affirmative response or must place an "x" in the "No" response block for a negative response. If both response blocks are blank, this will be interpreted as a negative response.

2) Vendors must describe the proposed approach and solution to the requirements in the body of the written response to the requirements, as follows:

a)   Vendors must respond affirmatively to all "**MUST**" or "**mandatory**" requirements in

Attachment 2. All **Mandatory** requirements appear in **BOLD** print. The only acceptable response for a **mandatory** requirement is A3, A2, A1 or A0, except that A0 is not an acceptable response in Subsection 4.1.20.3.

b) Vendors must respond affirmatively to all Core System requirements in Attachment 2. All Core System requirements appear in blue font.

c) All **mandatory** requirements must be available as of the date of the Vendor's proposal. All non-mandatory requirements that the Vendor responds to affirmatively must be available by the time the acceptance period starts.

d) An omitted response will be considered a "**N**" response.

e) Each response must provide the level of detail, with required examples, etc. in accordance with the directions of the applicable RFP Section, Subsection or individual requirement

f) No alterations of the text in this RFP are acceptable.

g) Wherever there is a request for a description, explanation etc. required from the vendor, the response must be edited into the text of this RFP, next to and below the corresponding requirement, using a font that distinguishes your response from the original text of the RFP. This RFP can be downloaded in MS Word 2000 format for that purpose. If the requested information has been furnished elsewhere in your proposal, a clear cross-reference will be acceptable.

h) Vendors are encouraged to provide additional information whenever they believe that a more comprehensive explanation of their offering is required for evaluation purposes. It should be incorporated in the same manner as detailed above.

i) Your proposal should clearly describe how the proposed system responds to all the RFP requirements in Attachment 2.

j) Vendors must respond to all requirements in this RFP. It is permissible for a Vendor to subcontract the work defined in one or more sections of this RFP, but in that event the Vendor submitting the proposal will take full responsibility for all initial and ongoing work performed by the subcontractor(s), including the responsibility for ensuring complete systems integration among all components proposed.

k) If the Vendor's response has assumed facts or requirements that have not been presented in the RFP or the attachments thereto, the Vendor's response must explicitly state all assumptions on which the response relies.

5.   Organization of Response and Section Specific Requirements

Vendor responses must be organized into the Sections listed below, and in accordance with the specific instructions regarding the format, content, and preparation of the individual sections as provided therein.

5.1. Transmittal Letter and Required Forms

To be considered responsive, proposals must include a Transmittal Letter addressed to the Director, Contract and Purchasing Division, DOIT, which must be in the form of a standard business letter, signed by an individual authorized to legally bind the vendor.

The transmittal letter must also contain specific statements, cross-referenced to each of the administrative requirements stipulated in RFP Section 2 (specifically, Sections 2.1.8, 2.1.10, 2.2.4, 2.2.6 – 2.2.29) to establish the Vendor's full acceptance of all such requirements. It is understood, however, that the submission of a proposal in response to this RFP shall constitute, without any further act required of the Vendor of the State, acceptance of the requirements, administrative stipulations and all of the terms and conditions of the RFP and all its Attachments.

The letter must include the name, title, address, telephone number, fax number and email address for the person that the State is to contact to resolve questions or issues regarding the submitted proposal (RFP Section 2.1.8).

Section 1.   Required Forms

A responsive proposal will include, after the Transmittal Letter, in the sequence listed below:

1) A completed Vendor Proposal Validation and Authentication Statement (Attachment 4).

2) Completed CHRO Form(s) (Attachment 5).

3) Completed Certification Regarding Lobbying form (Attachment 7).

4) Signed face-sheets for each amendment issued after RFP issuance (as applicable).

5) A completed Vendor Checklist (Attachment 8).

6) A complete Table of Contents to the entire response, including section and subsections with page numbers.

Section 2.   Executive Summary

A responsive proposal must include an Executive Summary that briefly summarizes the most salient aspects of the proposal in terms of satisfying the requirements presented in this RFP. The Executive Summary must provide a high-level overview of the Vendor's proposal that demonstrates a broad understanding of the RFP requirements. The Vendor must summarize their understanding of the objectives of the State in issuing this RFP, the intended results of the Project, the scope of work and any risks and issues which the Vendor believes needs to be addressed in this Project. The Executive Summary must not include any cost information.

Response to Mission, Vision and Objectives:

Vendors should draw from Attachment 2 – Business and Technical Requirements Sections 1, 2 and 3, as well as the introductions (where present) to all Section 4 Subsections to demonstrate in the Executive Summary their understanding of the background and objectives for the project.

Section 3.   Response To System Requirements

The System Requirements for the Connecticut Digital Library are explicitly described in Attachment 2 – Business and Technical Requirements and include mandatory, core and preferred elements. Vendors must provide a response to each of the requirements, whether mandatory, core or preferred. Vendor responses to this section should describe how their proposed approach and solution meets or exceeds mandatory, core and preferred requirements.

The Schedule of Deliverables will be a key contractual attachment for the Agreement to implement, maintain, operate and support the Connecticut Digital Library.

Section 4.   Response to Qualifications, Experience and Reference Requirements

Requirements for Vendor description of their Qualifications, Experience and References are explicitly described in Attachment 2 – Business and Technical Requirements, Section 4.1.20.

 The vendor's response must provide the level of detail with the required information in accordance with the directions of the applicable RFP Section, sub-section or individual requirement.

Section 5.   Glossary

Proposals must include a glossary of terms. All acronyms used in the proposal must include the full spelling of the term the first time it is used.

Section 6.   Business & Technical Proposal Exhibits

Plotted graphics, manuals and other materials **specifically requested** in the RFP that are too bulky to include in the response text as part of the Business and Technical Proposal, must be included as Exhibits, and cross referenced as follows:

1)   Exhibits must be numbered with a consistent and standard exhibit numbering scheme
2)   Exhibits must be referenced in the appropriate location in the response text
3)   Vendors must provide an index to the Exhibits in this Section 6 of their response, itemizing them by Exhibit number, including the specific location (Section, sub-section, Heading and paragraph number) in the response where the Exhibit is referenced, and providing hyperlinks to both the Exhibit and the location in the response where the Exhibit is referenced. If an Exhibit is only available in hardcopy (e.g., a requested third party manual), the Index entry must state "Hardcopy Only".

Exhibits are permitted for the Business and Technical Proposal only. **No cost information is permitted in Business & Technical Proposal Exhibits**.

Hardcopy Submission Requirements: Exhibits should be provided in loose-leaf binders in binder pockets (e.g., Avery 75254 Poly Binder Pockets) with the Vendor's name and address, the RFP number (RFP #023-A-29-7057) and marked "Business and Technical Proposal - Exhibits", on the outside front cover, on the spine, and on each page. In all other respects, the Hardcopy Submission Requirements at the beginning of this attachment apply to this section as well.

Electronic Submission Requirements: The Exhibit index described above must be submitted electronically, along with the versions of the plotted graphic documents, manuals and other materials that have been prepared, marked or otherwise customized for use as an Exhibit (the State's objective is to be able to reproduce the exhibits if necessary). In all other respects, the

Electronic Submission Requirements at the beginning of this attachment apply to this section as well.

Section 7.   Supplemental Information

If there are any materials that do not directly address the requirements of the RFP they must be located in this Section and clearly identified as Supplemental Information.

Section 8.   Cost Information

All Cost Information must be submitted in a separate package, labeled "Cost Proposal", as described above.

Vendors must include in the Cost Proposal all costs to the State for all the products and services needed to implement, maintain, operate and support a fully functional Connecticut Digital Library meeting or exceeding the System Requirements of this RFP.

The cost information must include details of: unit prices by product component being proposed; quantity and extended prices by product component; subtotals, applicable discounts and one time costs such as freight and installation charges.

Costs must not employ usage-sensitive pricing that allows vendor fees to increase in proportion to how much users (patrons and staff) use the system.

Vendors must offer a Firm Fixed Price for all elements of the Vendor's response to this RFP. Vendors must represent that their proposal and Firm Fixed Price is effective for at least one (1) year from the date of contract approval. Vendors must also represent that any across the board price decreases announced by the Vendor, its suppliers, or manufacturers for any or all products or services offered under the proposal will be passed on to the State.

Describe your rebate or credit policy when there is a failure to provide contracted services, for example:

- Loss of services (outages), and

- Failure to respond to a technical support/help desk call within the agreed time.

Vendors must specifically provide and specify price protection for implementation and ongoing activity costs and any other product, service or recurring costs during the initial contract term and each optional renewal term. Vendors should assume an initial three-year contract, during which time the State will expect full price protection for all products and services proposed, and three optional renewal terms of one year each, in which prices may not increase more than the CPI or 5%, whichever is less, at the start of each renewal term.

Any discounts in pricing of products or services must be specifically identified.

Any costs omitted from the Firm Fixed Price by the Vendor that are necessary to implement the Vendor's proposed approach and solution, such as but not limited to out of pocket expenses, freight charges, and incidental or unanticipated ad-hoc services, will be the responsibility of the Vendor, such that the Vendor, if selected, must comply with the delivery requirements of this RFP without charging the State for the omitted amount(s).

Section 8.1.   Cost Worksheets

See Attachment 6 – Cost Worksheets, for the Cost Worksheets referenced below. The completed Cost Worksheets will become part of the Agreement between the State and the Vendor. Vendor responses must include the specific worksheets referenced below, completed with the requested information and without modification as to format or structure other than to add detail lines as necessary.

The Cost Worksheets must be completed and submitted both in hardcopy and electronically as described above, under "Hardcopy Submission Requirements" and "Electronic Submission Requirements".

The Vendor's Cost Proposal must contain, at a minimum, the worksheets listed below, which contain all Mandatory and Core System requirements:

Cost Worksheet 1: Core System A
Cost Worksheet 2: Core System B

To the extent that the Vendor's Proposal responds affirmatively to requirements designated as "Preferred System" requirements, the Vendor's Cost Proposal must contain the applicable Preferred System Cost Worksheet(s) listed below:

Cost Worksheet 3: Preferred System A
Cost Worksheet 4: Preferred System B
Cost Worksheet 5: Preferred System – Subsection 4.1.9 #2
Cost Worksheet 6: Preferred System – Subsection 4.1.19 #3
Cost Worksheet 7: Preferred System – Subsection 4.3.2.4 #6b

All costs must include the cost to develop, implement, maintain, operate and support the proposed system.

8.1.1. Project Implementation Costs

See Attachment 6 – Project Implementation Cost Worksheet 7. Vendors must separately identify any and all costs which the State will incur **and be billed for** by the Vendor between the date that the contract is signed and July 1, 2004, when the proposed system is scheduled to be operational, and when the billing will take place during that time period.

Section 8.2. Vendor Financial Status and Performance Record

Vendors must include the following information concerning the financial status and performance record, of the proposing firm and, if proposed, each subcontractor.

8.2.1. Financial Status

1) Two (2) complete sets of audited financial statements for the last three (3) years

2) Sales in dollars for the three most recent years, including breakout of sales attributable to the proposed system/services.

3) Name, title, address and telephone number of a financial reference contact in the company's principal financing or banking organization.

4) A credit rating and the name of the rating service.

5) Disclosure of all judgments, pending or expected litigation, financial penalties, liquidated damages, or other real or potential financial reversals, or warrant that no such conditions are known to exist.

8.2.2. Recent Contract Performance

1) Disclosure of any and all instances in which the vendor has had contracts terminated for default during the past three years; or warrant that no such instances are known to exist. Termination for default is defined as notice to stop performance due to the vendor's nonperformance or poor performance and the issue was either not litigated or litigated and such litigation determined that the vendor was in default. Full details for all such terminations for default must be submitted, including the vendor's perspective on the matter and the other party's name, address and telephone number.

2) Disclosure of the names of the vendor's last three customers, using the immediate past three vendor's completed contracts to perform a service as a basis. The following information must be provided:

   a) Descriptions of products and services provided

   b) The dates that the products and services were provided

   c) Name, Title, Address and Phone Number of User Contact

3) Disclosure of the last two customers who decided not to renew the vendor's continued service or products. The following information must be provided:

   a) Descriptions of products and services provided

   b) The dates that the products and services were provided

   c) Name, Title, Address and Phone Number of User Contact

VENDOR PROPOSAL VALIDATION AND AUTHENTICATION STATEMENT

Vendor Organization: _____

FEIN # _____ (the "Company").

The person responsible for the validation of the Company's proposal must fully complete and sign this statement where indicated and attach it to the Company's response to the RFP. By doing so, the signer attests, on behalf of the Company, that the given proposal represents:

1)   Full and unconditional acceptance of all stipulated administrative requirements of RFP 023-A-29-7057

2)   Complete and valid information as of the proposal due date,

3)   Product and term offerings that are valid until such date as the State is specifically notified otherwise, but not less than one (1) year from the proposal due date; and prices that are valid for at least twelve (12) months from the proposal due date,

4)   The Company shall comply with all State requirements regarding proposal contents and formats, and

5)   The Company has read and understands the principles, standards and best practices of the State's Enterprise-Wide Technical Architecture.

Validating Official: _____

                           Signature

                           _____

                           Printed Name and Title

By signing this proposal, I confirm that this proposal constitutes a complete, authentic and bona-fide offer to the State of Connecticut, which the Company is fully prepared to implement as described. The Company official who validated this proposal was authorized to represent the Company in that capacity on the date of his/her signature.

Authenticating Official: _____

                           Signature

                           _____

                           Printed Name and Title

NOTE: Any modifications to this form will subject the Company's proposal to the risk of being deemed a "contingent" proposal, thus subject to rejection by the State.

CONTRACT COMPLIANCE REGULATIONS AND NOTIFICATION TO VENDORS

Section 32-9e of the Connecticut General Statutes sets forth the State's Small Business Set-Aside program and the percentage of applicable purchases that must be set-aside for certified small businesses. Effective July 1, 1988, <u>Twenty-five</u> <u>(25%)</u> of the average total value of all contracts let for each of the previous three fiscal years must be set aside.

The Department of Information Technology is requesting that vendors responding to this RFP set aside a portion for a small, minority or women's business enterprise as a supplier of goods, a supplier of services and/or as a subcontractor. Prospective Vendors may obtain a list of firms certified to participate in the Set-Aside program by contacting the Department of Administrative Services (DAS), 165 Capitol Avenue Hartford, Connecticut 06106, Room G8A, Business Connections/Set-Aside Unit, Telephone (860)-713-5236. The DAS web site may be accessed at <u>www.state.ct.us/das/busopp.htm</u>.

Bidders may fulfill this obligation through a subcontract for any services related to this contract by utilizing small, minority or women-owned businesses as suppliers of goods or services.

NOTE WELL: During the evaluation process, special consideration will be given to those Bidders who provide documentation to evidence their utilization of a certified small minority or women's business and/or demonstrate the Bidder's commitment to, whenever possible, utilize a certified small minority or women's business. Bidders should identify the certified small minority or women's business, the goods or services the business will supply and the <u>percentage</u> of the overall contract amount that will be set-aside in the <u>Technical Proposal</u>, as well as <u>identifying a specific dollar amount in the Business Proposal.</u> <u>Note that no dollar amounts are to appear in the Technical and Business Proposal.</u>

Additionally, Vendors are to complete the Commission on Human Rights and Opportunities Contract Compliance Monitoring Report that appears at the end of this Attachment and submit the completed, signed Report (labeled CHRO-4) with the Proposal

CONTRACT COMPLIANCE REGULATIONS (CHRO) *Page 2 of 4*	STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES (CHRO)	CHRO-4

2) Description of Job Categories (as used in Part IV Bidder Employment Information)

Officials, Managers and Supervisors - Occupations requiring administrative personnel who set broad policies, exercise over-all responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes officials, executives, middle management, plant managers, department managers, and superintendents, salaried forepersons who are members of management, purchasing agents and buyers, and kindred workers.

Professionals - Occupations requiring either college graduation or experience of such kind and amount as to provide a comparable background. Includes: accountants and auditors, airplane pilots and navigators, architects, artists, chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, personnel and labor relations workers, physical scientists, physicians, social scientists, teachers, kindred workers.

Technicians - Occupations requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post high school education, such as is offered in technical institutes and junior colleges, or through equivalent on-the-job training. Includes: draftspersons, engineering aides, junior engineers, mathematical aides, nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians (medical, dental, electronic, physical sciences), and kindred workers.

Sales Workers - Occupations engaging wholly or primarily in direct selling. Includes: advertising agents and sales persons, insurance agents and brokers, real estate agents and brokers, stock and bond salespersons, demonstrators, sales people and sales clerks, and kindred workers.

Office and Clerical Workers - Includes all clerical type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with altering or transporting the products is included. Includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office workers, office machine and computer operators, shipping and receiving clerks, stenographers, typists and secretaries, telegraph and telephone operators, and kindred workers.

Skilled Workers - Manual workers of relatively high skill level having a thorough and comprehensive knowledge of the processes in their work. They exercise considerable independent judgment and usually receive an extensive period of training. Includes: building trades hourly paid forepersons and leadpersons who are not members of management, mechanics and repair people, skilled machining occupations, compositors and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.

Semi-Skilled Workers - Workers who operate machine or processing equipment or perform other factory type duties of intermediate skill level which can be mastered in a few weeks and require only limited training.

Unskilled Workers - Workers in manual occupations which generally require no special training. Perform elementary duties that may be learned in a few days and require application of little or no independent judgment. Includes: garage laborers, car washers and greasers, gardeners (except farm) and grounds keepers, longshore persons and stevedores, wood cutters and choppers, laborers performing lifting, digging, mixing, loading, and pulling operations, and kindred workers.

Service Workers - Workers in both protective and non-protective service occupations. Includes: attendants (hospital and other institution, professional, and personal service), barbers, cleaning workers, cooks (except house-hold), counter and fountain workers, fire fighters, police officers and detectives, security workers and doorkeepers, stewards, janitors, porters, food servers and kindred workers.

Apprentices - Persons employed in a program including work training and related instruction to learn a trade or craft which is traditionally considered an apprenticeship, regardless of whether the program is registered with a state or federal agency.

Trainees - Persons engaged in a formal training for craft worker when not trained under an apprenticeship program. Includes: operatives, laborer and service occupations. Also includes persons engaged in formal training for official, managerial, professional, technical, sales, office, and clerical occupations.

3) Definition of Racial and Ethnic Terms (as used in Part IV Bidder Employment Information)

White (not of Hispanic Origin) - All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

Black (not of Hispanic Origin) - All persons having origins in any of the Black racial groups of Africa.

Hispanic All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

Asian or Pacific Islander All persons having origins in any of the original peoples of the Far East, Southeast Asia, Indian subcontinent or Pacific Islands. Includes China, India, Japan, Korea, Philippine Islands, & Samoa.

American Indian or Alaskan Native All persons having origins in any of the original peoples of North America, and who maintain cultural identification through tribal affiliation or community recognition.

CONTRACT COMPLIANCE REGULATIONS (CHRO) *Page 3 of 4*	STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES (CHRO)	CHRO-4

BIDDER CONTRACT COMPLIANCE MONITORING REPORT

PART I - Bidder Information

Company Name Street Address City & State Chief Executive	Bidder Federal Employer Identification Number (FEIN) or Social Security Number (SSN)
Major Business Activity (brief description)	Bidder Identification (response optional/definitions on page 1) -Is bidder a small contractor? ☐ Yes ☐ No

Bidder Parent Company (if any)	-Is bidder a minority business enterprise? ☐ Yes ☐ No
	   If Yes, check ownership category
	   ☐ Black ☐ Hispanic ☐ Asian American

Other Locations in CT (if any)	☐ American Indian/Alaskan Native ☐ Iberian Peninsula ☐ Individual(s) with a Physical Disability ☐ Female -Is bidder certified as above by the State of CT (DAS)? ☐ Yes ☐ No

PART II - Bidder Non-Discrimination Policies & Procedures

1. Does your company have a written Equal Employment Opportunity statement posted on company bulletin boards? ☐ Yes ☐ No	7. Do all of your company contracts and purchase orders contain non-discrimination statements as required by Sections 4a-60 & 4a-60a of the Conn. Gen. Stat.? ☐ Yes ☐ No
2. Does your company have a written sexual harassment in the workplace policy posted on company bulletin boards? ☐ Yes ☐ No	8. Do you, upon request, provide reasonable accommodation to employees or applicants for employment who have physical or mental disability? ☐ Yes ☐ No
3. Do you notify all recruitment sources in writing of your company non-discrimination employment policy? ☐ Yes ☐ No	9. Does your company have a mandatory retirement age for all employees? ☐ Yes ☐ No
4. Do your company advertisements contain a written statement that you are an Equal Opportunity Employer? ☐ Yes ☐ No	10. If your company has 50 or more employees, have you provided at least two (2) hours of sexual harassment training to all of your supervisors? ☐ Yes ☐ No ☐ NA
5. Do you notify the CT State Employment Service of all employment openings with your company? ☐ Yes ☐ No	11. If your company has apprenticeship programs, do they meet the equal opportunity requirements of the apprenticeship standards of the CT Dept. of Labor? ☐ Yes ☐ No ☐ NA

6. Does your company have a collective bargaining agreement with workers?   ☐ Yes   ☐ No
  6a. If yes, do the collective bargaining agreements contain non-discrimination clauses covering all workers   ☐ Yes   ☐ No
  6b. Have you notified each union, in writing, of your commitments under the non-discrimination requirements of contracts with the State of CT?   ☐ Yes   ☐ No
	12. Does your company have a written affirmative action plan? ☐ Yes ☐ No

	13. Is there a person in your company who is responsible for Equal Employment Opportunity? ☐ Yes ☐ No If yes, provide name and phone number.

PART III - Bidder Subcontracting Practices

1. Will the work of this contract include subcontractors or suppliers? ☐ Yes   ☐ No
  1a. If yes, list all the subcontractors and suppliers and report if they are a small contractor and/or a minority business enterprise (as defined on page 1). Attach additional sheets if necessary.
 	
  1b. Will the work of this contract require additional subcontractors or suppliers other than those identified in 1a. above? ☐ Yes   ☐ No

CONTRACT COMPLIANCE REGULATIONS (CHRO) *Page 4 of 4*	STATE OF CONNECTICUT COMMISSION ON HUMAN RIGHTS AND OPPORTUNITIES (CHRO)	CHRO-4

PART IV - Bidder Employment Information

JOB CATEGORY	OVERALL TOTALS	WHITE (NOT OF HISPANIC ORIGIN)		BLACK (NOT OF HISPANIC ORIGIN)		HISPANIC		ASIAN / PACIFIC ISLANDER		AMERICAN INDIAN OR ALASKAN NATIVE	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Officials/Managers											
Professionals											
Technicians											
Sales Workers											
Office/Clerical											
Craft Workers (Skilled)											
Laborers (Unskilled)											
Service Workers											
TOTALS ABOVE											
Total One Year Ago											
FORMAL ON-THE-JOB TRAINEES (ENTER FIGURES FOR THE SAME CATEGORIES AS ARE SHOWN ABOVE)											
Apprentices											
Trainees											

According to the above employment report, is the composition of your workforce at or near parity when compared with the racial and gender composition of the workforce in the relevant labor market area? ☐ Yes   ☐ No

PART V - Bidder Hiring and Recruitment Practices

1. Which of the following recruitment sources are used by you? (Check yes or no, and report percentage used)				2. Check (✔) any of the requirements listed below that you use as a hiring qualification.		3. Describe below any other practices or actions that you take which show that you hire, train, and promote employees without discrimination.
SOURCE	YES	NO	% of applicants provided by source	(✔)		
State Employment Service					Work Experience	
Private Employment Agencies					Ability to Speak or Write English	
Schools and Colleges					Written Tests	
Newspaper Advertisement					High School Diploma	
Walk Ins					College Degree	
Present Employees					Union Membership	
Minority/Community Organizations					Personal Recommendation	
Labor Organizations					Height or Weight	
Others (please identify)					Car Ownership	
					Arrest Record	
					Wage Garnishment	

Certification (Read this form and check your statements on it CAREFULLY before signing). I certify that the statements made by me on this BIDDER CONTRACT COMPLIANCE MONITORING REPORT are complete and true to the best of my knowledge and belief, and are made in good faith. I understand that if I knowingly make any misstatement of facts, I am subject to be declared in non-compliance with Section 4a-60, 4a-60a, and related sections of the CONN. GEN. STAT.

Signature	Title	Date Signed	Telephone

COST WORKSHEETS

TABLE OF CONTENTS

**COST WORKSHEET 1
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
CORE SYSTEM A**

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Charges	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	4.1.16.3 #1a (inclusive)		
3	4.1.17 #1a (inclusive), #3, #3a		
4	4.2.2.4 #4		
5	4.3.2.2 #4, #4a, #4a (i)		
6	4.3.2.2 #14f (i)		
7	4.3.2.5 #1		
8	4.3.2.6.4 #1		
9	4.3.2.6.4 #2 (a through d), #5		
10	4.3.2.9.8 #14 (a through b)		
11	4.3.2.9.8 #15		
12	4.3.2.10.2 #1, #1a, #1(i) through #1(m), #2, #4 (inclusive), #5, #5a		
	TOTAL NOT TO EXCEED COST		

* **Applicable to all three years of the contract**

COST WORKSHEET 2
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
CORE SYSTEM B

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, , except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	4.1.16.3 #1b (inclusive), #3, #4, 4a		
3	4.1.17 #1b (inclusive), #3, #3a		
4	4.2.2.4 #4		
5	4.3.2.2 #4, #4a, #4a (i)		
6	4.3.2.2 #14f (i)		
7	4.3.2.5 #1		
8	4.3.2.6.4 #1		
9	4.3.2.6.4 #2 (a through d), #5		
10	4.3.2.9.8 #14 (a through b)		
11	4.3.2.9.8 #15		
12	4.3.2.10.2 #1, #1a, #1(i) through #1(m), #2, #4 (inclusive), #5, #5a		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 3
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM A

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	All **Preferred** System requirements in Attachment 2 responded to affirmatively and not priced separately below, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
3	4.1.3 #1b		
4	4.1.3 #2		
5	4.1.5 (inclusive)		
6	4.1.6 #13		
7	4.1.14 #1 through #7, #11, #13, #14		
8	4.1.14 #8		
9	4.1.14 #10 (inclusive)		
10	4.1.14 #12		
11	4.1.14 #12a		
12	4.1.16.3 #1a (inclusive), #2 through #5		
13	4.1.17 #1a (inclusive), #2 through #5		
14	4.2.2.2 (inclusive)		
15	4.2.2.4 #1 (inclusive)		

16	4.2.2.4 #4		
17	4.2.2.4 #5		
18	4.2.3 (inclusive)		
19	4.3.2.2 #4 (inclusive)		
20	4.3.2.2 #7 (inclusive)		
21	4.3.2.2 #13a		
22	4.3.2.2 #13b		
23	4.3.2.2 #13c		
24	4.3.2.2 #13d		
25	4.3.2.2 #14f (i)		
26	4.3.2.5 #1 (inclusive)		
27	4.3.2.5 #2		
28	4.3.2.5 #3		
29	4.3.2.5 #4		
30	4.3.2.5 #5		
31	4.3.2.5 #6		
32	4.3.2.6.2 #13 (inclusive)		
33	4.3.2.6.4 #1 (inclusive)		
34	4.3.2.6.4 #2 through #5		
35	4.3.2.6.5 (inclusive)		
36	4.3.2.7 #3		
37	4.3.2.9.2 #1a		

38	4.3.2.9.2 #1b		
39	4.3.2.9.2 #1c		
40	4.3.2.9.2 #1d		
41	4.3.2.9.2 #1e		
42	4.3.2.9.2 #1f		
43	4.3.2.9.2 #1g		
44	4.3.2.9.3 (inclusive)		
45	4.3.2.9.4 #6 (inclusive), #7 (inclusive)		
46	4.3.2.9.4 #22		
47	4.3.2.9.8 #2 through #4		
48	4.3.2.9.8 #9 through #13, #16		
49	4.3.2.9.8 #14 through #15		
50	4.3.2.10.2 (inclusive)		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 4
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM B

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	All **Mandatory** and **Core** system requirements in Attachment 2 not priced separately below, including all responses to questions in plain text, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
2	All **Preferred** System requirements in Attachment 2 responded to affirmatively and not priced separately below, except Subsection 4.1.6 #1b to d	Included in total below	Included in total below
3	4.1.3 #1b		
4	4.1.3 #2		
5	4.1.5 (inclusive)		
6	4.1.6 #13		
7	4.1.14 #1 through 7, 11, 13-14		
8	4.1.14 #8		
9	4.1.14 #10 (inclusive)		
10	4.1.14 #12		
11	4.1.14 #12a		
12	4.1.16.3 #1b (inclusive), #2 through #5		
13	4.1.17 #1b (inclusive), #2 through #5		
14	4.2.2.2 (inclusive)		
15	4.2.2.4 #1 (inclusive)		

16	4.2.2.4 #4		
17	4.2.2.4 #5		
18	4.2.3 (inclusive)		
19	4.3.2.2 #4 (inclusive)		
20	4.3.2.2 #7 (inclusive)		
21	4.3.2.2 #13a		
22	4.3.2.2 #13b		
23	4.3.2.2 #13c		
24	4.3.2.2 #13d		
25	4.3.2.2 #14f (i)		
26	4.3.2.5 #1 (inclusive)		
27	4.3.2.5 #2		
28	4.3.2.5 #3		
29	4.3.2.5 #4		
30	4.3.2.5 #5		
31	4.3.2.5 #6		
32	4.3.2.6.2 #13 (inclusive)		
33	4.3.2.6.4 #1 (inclusive)		
34	4.3.2.6.4 #2 through #5		
35	4.3.2.6.5 (inclusive)		
36	4.3.2.7 #3		
37	4.3.2.9.2 #1a		

38	4.3.2.9.2 #1b		
39	4.3.2.9.2 #1c		
40	4.3.2.9.2 #1d		
41	4.3.2.9.2 #1e		
42	4.3.2.9.2 #1f		
43	4.3.2.9.2 #1g		
44	4.3.2.9.3 (inclusive)		
45	4.3.2.9.4 #6 (inclusive), #7 (inclusive)		
46	4.3.2.9.4 #22		
47	4.3.2.9.8 #2 through #4		
48	4.3.2.9.8 #9 through #13, #16		
49	4.3.2.9.8 #14 through #15		
50	4.3.2.10.2 (inclusive)		
	TOTAL NOT TO EXCEED COST		

* Applicable to all three years of the contract

COST WORKSHEET 5
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.1.9 #2 (inclusive)

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.1.9 #2 (inclusive) – provide cost per language supported		

* Applicable to all three years of the contract

**COST WORKSHEET 6
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.1.19 #3 (inclusive)**

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.1.19 #3 (inclusive) – provide cost per language supported		

* Applicable to all three years of the contract

COST WORKSHEET 7
SUMMARY OF PROPOSED NOT-TO-EXCEED COSTS WORKSHEET
PREFERRED SYSTEM – SUBSECTION 4.3.2.4 #6b

Note: Usage-sensitive fees are not allowed.

Item	RFP Subsection	Total Not To Exceed One-Time Costs	Total Not To Exceed Annual Costs*
1	4.3.2.4 #6b		

* Applicable to all three years of the contract

ATTACHMENT 6

COST WORKSHEET 8
PROJECT IMPLEMENTATION COSTS WORKSHEET
IDENTIFICATION OF ALL COSTS (IF ANY) THAT THE STATE WILL BE BILLED
BETWEEN CONTRACT SIGNING AND JULY 1, 2004

Item	Implementation Task	Due Date	Amount Billed
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
	TOTAL NOT-TO-EXCEED PAYMENTS DUE PRIOR TO JULY 1, 2004		

CERTIFICATION REGARDING LOBBYING

VENDOR: _____

PERIOD: _____

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member or Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member or Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, " Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award document for subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) at that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more that $100,000 for each such failure.

_____   _____
SIGNATURE   TYPED NAME & TITLE

_____   _____
FIRM/ORGANIZATION   DATE

VENDOR CHECKLIST

This signed CHECKLIST is required to be submitted with your proposal.

1.) We have listed our contact person's name, title, address, phone #, email, etc. including the Company's FEIN number: _____

2.) We have provided the RFP response in properly marked, sealed envelopes or boxes before the proposal due date and time _____

3.) We have provided our proposal following the page and text formats required. _____

4.) We have completed the Transmittal Letter as required, and have included the required forms and signed face sheets for each amendment issued after issuance of the RFP. _____

5.) We have provided a Table of Contents _____

6.) We have provided an Executive Summary _____

7.) We have provided original signatures on the Vendor Proposal Validation and Authorization Statement and Transmittal Letter: _____

8.) We have included a description of ourselves, including a company annual report or unaudited financial statement as required by the RFP and a description of relevant experience _____

9.) We have included 3 references with name, address, email and telephone: _____

10.) Where we have exceptions or additions in pricing or costs, we have explained them in sufficient detail that the State can determine the complete cost of our service proposal. _____

11.) We have included electronic copy as instructed in Attachment 3: _____

12.) We have included hardcopy as instructed in Attachment 3: _____

13.) We have addressed all the mandatory, core and preferred requirements listed in the RFP: _____

14.) We have filled out, signed and returned the Commission on Human Rights and Opportunities Compliance Monitoring Report (Pages 4 & 5 of Attachment 5) _____

15.) We acknowledge that the proposal is the sole property of the State of
Connecticut: _____

16.) There are no proprietary statements in the Proposal, except as clearly
noted and permitted: _____

We, _____, (Company Name) accept the terms and conditions of this bid.
Any exceptions that we have taken to this bid are attached in writing in the Transmittal Letter.

VENDOR NAME: _____

SUBMITTED BY: _____
      SIGNATURE

      _____
      PRINT

DATE: _____